

**IN THE UNITED STATES DISTRICT COURT
FOR THE MIDDLE DISTRICT OF ALABAMA
NORTHERN DIVISION**

UNITED STATES OF AMERICA,)	
)	
Plaintiff,)	
)	
v.)	CASE NO. 2:06-cv-392-WKW
)	
THE STATE OF ALABAMA and)	
NANCY L. WORLEY, Secretary of State,)	
in her official capacity,)	
)	
Defendants.)	

**SPECIAL MASTER'S FOURTH
(DECEMBER 2006) INTERIM REPORT**

Comes now Bob Riley, Governor of the State of Alabama, as Court-appointed Special Master, and files his fourth monthly interim report detailing the activity and progress made toward implementation of Alabama's single, uniform, official, centralized, interactive computerized statewide voter registration list.

**I. ACTIVITIES OF THE SPECIAL MASTER AND
THE SPECIAL MASTER'S IMPLEMENTATION COMMITTEE**

Activities since the date of the Special Master's third report are as follows:

A. The Special Master's Implementation Committee issued a formal Notice of Intent to Release RFP (attached hereto as Exhibit A). Notice was mailed and e-mailed to a very large number of known software vendors who were believed by the Implementation Committee to be either capable or interested in responding to an RFP. Such notice was also placed on the Governor's web site, HAVA Section.

B. On November 16, 2006, there was a Status Conference in the chambers of Judge Keith Watkins. The primary purpose was to give Judge Watkins formal status of the progress under the Court Order and introduce the Secretary of State's new attorneys into the case and to address issues of document production.

C. On November 16, 2006, the Special Master's Implementation Committee convened in Montgomery and went over a very detailed agenda (attached hereto as Exhibit B) of items relating to implementation, discovery, and the upcoming issuance of the RFP, specifically including the content of the RFP.

D. On November 17, 2006, the Implementation Committee issued the RFP (attached hereto as Exhibit C). All vendors had previously been notified of the issuance of the RFP and the RFP was placed on the Governor's/Special Master's web site, for the convenience of all vendors.

E. On November 20, 2006, Governor Riley, with Court approval, appointed Secretary of State-elect, Beth Chapman, to the Special Master's HAVA Implementation Committee, as its fifth member. Mrs. Chapman had already begun educating herself on the various pertinent issues. Mrs. Chapman was furnished all pertinent background information in the form of a HAVA Implementation Committee notebook which includes all significant Court Orders and correspondence.

F. On November 20, 2006, a notification was sent to local election officials (attached hereto as Exhibit D) informing them of a Vendor Conference which the Implementation Committee had scheduled for Friday, December 1, 2006, and inviting them to participate in that conference. There was also communication with State Representative Ken Guin, the acting chairman of the official Secretary of State's HAVA Committee, notifying him of the upcoming Vendor Conference and asking him to invite

the entire HAVA Committee. Representative Guin responded in a positive fashion and did send out formal notification to the entire HAVA Committee informing them of the Vendor Conference and requesting their participation.

G. On November 28, 2006, the Implementation Committee provided to vendors a Vendor Conference schedule outline and a scoring overview (attached hereto as Exhibit E).

H. On November 29, 2006, the Special Master's HAVA Implementation Committee met by conference call. All Committee members participated, including the newest member, Mrs. Chapman. The Committee went over and fully discussed a nine-item agenda (attached hereto as Exhibit F) a portion of which was focused on the upcoming Vendor Conference, as well as other items relating to general matters of interest and concern to the Implementation Committee. On or before November 29, 2006, questions were received by the Implementation Committee from vendors that had indicated an intention to participate. These questions were answered in writing. Responses to the questions of each vendor were distributed to each vendor at the Vendor Conference on December 1, 2006 (attached hereto as Exhibit G).

I. On Friday, December 1, 2006, a Vendor Conference was held (agenda attached hereto as Exhibit H). From 10:00 a.m. until 2:00 p.m. vendor displays were available to any and all interested parties for review, inspection, and questions, including probate judges, registrars, circuit clerks, HAVA Committee members, accessibility/disability advocates, the Implementation Committee members, and any other interested parties. This portion of the Vendor Conference was held in the Old Archives Room of the State Capitol and there was good participation. Beginning at 1:00 p.m. on Friday, December 1, 2006, formal vendor presentations were made in the State

Capitol Auditorium before the HAVA Implementation Committee and members of the Alabama HAVA Committee and any other persons who wished to participate. At the end of the presentations there was a question-and-answer period involving all the vendors.

J. The Special Master and the Implementation Committee have continued to make progress on securing production from the Secretary of State. The Secretary of State's new attorneys, Mr. George Beck and Mrs. Terrie Biggs, have been very cooperative and very responsive with the Special Master's attorneys and the Special Master's Implementation Committee. Additional documentation and computer information, on disk (by agreement), has been furnished. Some of the information has been and will be helpful to the Special Master and his Implementation Committee. The Special Master and the Implementation Committee are currently evaluating the production results, as compared to the requested production documents, in an effort to determine whether or not a request will be made to the Court to intercede further on document production issues. Of particular note, the Special Master would point out that the most significant items of non-produced documentation are the vendor scoring sheets from the Secretary of State's Special Technical Committee, the vendor scoring sheets from the Alabama HAVA Committee, and the vendor scoring sheets/assessments that were done by a special group of elected and/or appointed voting officials who came in for a review of vendor proposals on or about December 29, 2004. As soon as the Special Master, with input from the Implementation Committee, can determine the importance, benefits, and necessity of these documents, the decision will be made as to whether or not to request that the Court address these issues again.

K. The Special Master, since the last monthly report and to date, has expended no significant amount of funds from the Special Master's HAVA account. The Special Master has paid travel expense reimbursement claims from one of the Implementation Committee members. The Special Master contemplates paying one of the Implementation Committee members, Trey Granger, an hourly reimbursement for his time that is being expended exclusively on HAVA matters. The Implementation Committee unanimously elected Trey Granger as its coordinator. Mr. Granger has been and will continue to work significant hours on HAVA matters, over and above the time he is obligated to work for the Montgomery County Probate Judge. It is contemplated that Mr. Granger will be paid for his time at an agreed upon rate of \$100 per hour for these hours for which he is not otherwise being compensated.

L. The Special Master continues to believe that he and his Implementation Committee are "on course" and "on schedule" in accordance with their predetermined operational schedule. Thus, the Special Master believes that implementation is on schedule and can reasonably be expected to be accomplished within the timeframes previously set by the Court.

Done this 5th day of December 2006.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Ken Wallis", with a stylized flourish at the end.

/s/ **Kenneth D. Wallis, II**
Kenneth D. Wallis, II
Chief Legal Advisor
Office of the Governor
State Capitol, Suite NB-05
600 Dexter Avenue
Montgomery, Alabama 36130
(334) 242-7120 Phone
(334) 242-2335 Fax

CERTIFICATE OF SERVICE

I hereby certify that on December 5, 2006, I electronically filed the foregoing with the Clerk of the Court using the CM/ECF system which will send notification of such filing to the following:

Algert S. Agricola, Jr.

R. Randolph Neeley

James Harold Anderson

Donald Palmer

Terry G. Davis

Robert D. Popper

Frank Corley Ellis, Jr.

Michael W. Robinson

Misty S. Fairbanks

Winfield J. Sinclair

Margaret L. Fleming

Edward Still

Shannon Lynn Holliday

Gary R. Trawick

Christy A. McCormick

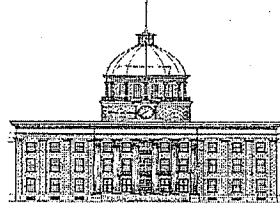
Dorman Walker

And I hereby certify that I have mailed by United States Postal Service the foregoing document to the following non-CM/ECF participants:

**John K. Tanner
U.S. Department of Justice
Chief, Voting Section
Civil Rights Division
Room 7254-NWB
950 Pennsylvania Avenue NW
Washington, DC 20530**

**Wan J. Kim
U.S. Department of Justice
Voting Section
Civil Rights Division
Room 7254-NWB
950 Pennsylvania Avenue, NW
Washington, DC 20530**

**/s/ Kenneth D. Wallis, II
Kenneth D. Wallis, II
Chief Legal Advisor
Office of the Governor**



Alabama HAVA Implementation Commission

Sid McDonald, Chairman · Judge Richard "Rip" Proctor · Jim Bennett · Trey Granger

Notice of Intent to Release Request for Proposal

November 3, 2006

In anticipation of the electronic release of a Request for Proposal on November 17, 2006, the Alabama HAVA Implementation Commission provides the following:

Alabama's new voter registration system should be developed and designed as a visionary model to insure: (a) uniform data structures maintained, but also reported from the 67 counties to the State, (b) a uniform hardware architecture among the counties supportive of the State, (c) a uniform software structure among the counties interactive with the State, and (d) continuous, high-speed connectivity among the 67 counties and the State for interactive data entry, data management, and data inquiry. The system shall be designed as one statewide central platform supported by a foundation of 67 footings. The hardware, software, operation, and interaction of each footing would be identical to that of the parenting platform, but would allow for local functionality in effectuating election requirements.

The 67 supporting counties would report in real-time fashion to the central platform or database, but would be able to function efficiently and/or independently should there be an unexpected interruption at the state level or in some location in a portion of the state. There would be no variation between the state system and that information stored at the county as a supporting sub-component. The centralized platform or database maintained at the State level would exactly mirror information maintained within each local county courthouse. Each county, operating as a "footing" would be able to operate as a component of the whole but also independently with the exact same data provided to the State. The system components should be identical in every county; therefore, different systems should not be maintained in some counties while others are operational in a different jurisdiction.

Secondly, the new system should include state-of-the-art components that can now be utilized in many counties but not overwhelm rural counties with limited resources and/or personnel. The proposed solution should include the following system capabilities when creating the components for procurement: GPS and GIS mapping, the automated creation of all legal and administrative notices, mailing of voter registration cards, maintaining/validating voter information, electronic document imaging, enhanced statewide search for all county officials, state of the art query and tracking tools, electronic windows based creation and maintenance of voting histories, public information, electronic maintenance of voter activity, NVRA tracking, automated precinct and jurisdictional assignment, integration with electronic poll books within the system, electronic tracking of duplicate registrations and cancellations, postal bar-coding, importing and exporting of image filings, ability to create customized notification reports and cards for each county and/or the State, provide CASS Certification, allow searchable fields on the system at the State and/or local level, track all voter activities (name change, address change, new registration, etc.), provide function where mass precinct and district changes are required, provide function where mass address changes are required, generate lists, reports, and related

documentation by county, district, street, city, or precinct. The selected proposal and solution shall be the single system for storing and managing the official list of registered voters in Alabama, it should also be a system for use in each of the 67 counties which comprise the State.

The third and final component of the desired system is that the Alabama voter registration system be designed to also serve as an election management resource for each of the 67 counties. The new system should streamline, integrate and insure the following election related duties: entering provisional voter information in voter's history and all other aspects of provisional voting, creation of election management documents, poll worker management, logging and reporting military requests for absentee voting, absentee voting reports (requesting and voting), batch reports for ballot styles and quantities based on registration information, identify and list ballot styles, ability to electronically store images of election documentation, generate barcodes for mailing documentation, create election schedules and deadline management, creation of election definitions, ability to track and assign precinct locations, ability to track and collect race results by election, race, district, precinct, etc., provide platform for poll-worker management, interface for "un-official" election night returns, automation for ballot certification and ballot definition, and provide for early-voting and/or internet voting should Alabama adopt early voting and/or internet voting in the future.

Interested vendors should consider the full listing below as desired components for the proposed Alabama Voter Registration solution. The listing below shall be included in part or in whole in the Request for Proposal that will be released by the Alabama HAVA Implementation Commission on November 17, 2006.

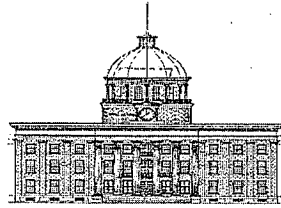
Voter Registration Components:
Ability to Automatically Assign Precinct and Jurisdictions for Voter.
Ability to catalogue Voter Replies to Notices via an Indexed Image File.
Ability to conduct a mass purge of designated voters.
Ability to create All Required Notices
Ability to Create Customized Notification Reports
Ability to Define Customized Notification Reports
Ability to Display Voter Information by Street that Includes District, Precinct, and Past Elections
Ability to Format Data for Electronic Poll Books.
Ability to Generate Bar Codes of Voter Identifier for Printing.
Ability to Inquire and Display Voters by Street
Ability to limit Specific User Access to a designated Screen or Set of Screens
Ability to Mass Cancel Suspense Voters
Ability to Print Voter Registration Cards
Ability to Print Voting Notices
Ability to Search all data fields/elements.
Ability to store electronic Copy of Notices.
Ability to Track All Voter Activities [Registration, Voting, Address Change, Name Change]
All Voter Information Fields are Searchable.
Automated Creation and Retention of Fees for Forms, Lists, Reports...
Automatic Assignment of Precinct Information.
Capability for Voter Assigned Unique Identification Number
Capability to Develop Reports, Queries and Analysis Information.
Capability to identify a Qualified Person with a disability who needs special accommodation at precinct.
Capability to Index and Image File returned cards and/or mailings
Capability to List Precincts within a Particular Street, district, or other geographical boundary.
Capability to view and print a List of Voters within a Particular Street
Complete NVRA Tracking capability.
Components to automatically update Street Index Files.
Comprehensive Bar-coding components.
Coordination of Mass Mailing of Voter Registration Cards
Creation of Custom Reports.
Designed to Generate Image Print File from Voter Record.

Designed to Generate Lists by County, District, Street, or Precinct
Development of Migration Process for Moving Existing County GIS Data to ESRI Compatible Data.
Electronic capability for sending all Required Notices
Electronically Access Images for/from Voter Record.
GIS mapping and document imaging.
GPS/GIS Mapping Functionality
Images are Indexed to Voter Record.
Integrate CASS Certification Functionality.
Mail Merge Process utilized for automated processing of specific mailings.
Management of Public Information Fees
Operational GIS Mapping Tools
Organize, report and accommodate Public Information Requests
Pending Action "To Do" List
Performance Based Management
Postal Bar-coding for Forms and Letters.
Provide an Import Capability for GIS Data
Provide Basic Map Tools for Manipulation of Maps.
Provide Electronic Files or Print Screens for Printing and Management of Labels, Envelopes, Notices, Postcards, Forms, Form Letters and Other Required Documents.
Provide Function Where Mass Address Changes can be Made.
Provide Function Where Mass Precinct and District Changes can be Made.
Provide Read Only Information of Voter Information to designated officials.
Provide Real-Time Updates
Provide Real-Time Updates for Counties
Provide Standard Report Map Queries.
Provide the Ability to Import and Export Image Files
Require all Changes be Recorded in the System Audit Trail.
Scanning - Logs and Stores Image Files of Correspondence and Replies from Voters/Applicants.
Search Capability of designated field listed upon the Voter Registration Application
State-of-the-art reporting and query tools
Statewide search capability for all county officials
Statistical Reports capabilities
Street Standardization capabilities.
Supports Internationalized Addresses.
Suspense List Management capabilities.
The Proposed Solution Shall be the Single System for Storing and Managing the Official List of Registered Voters throughout the State that interacts and coordinates the lists maintained in each Alabama County which comprise the "statewide" list.
The Proposed Solution Shall have User Account Management Security Capabilities to Setup parameters which define access to Specific Areas of the System and Data to Allow any Election Official in the State, including any local Election Official, to Obtain Immediate Access.
The Solution may or may not be "Web Based"
Unique Password capability for each county user.
Validation of voter information.
View Voter Signature from Poll Book Link.
Voter Activity History maintained and organized with designated criteria.
Voter cancellation tracking and reporting components.
Voter Election Website - Linked to counties, precinct and contents on the Ballot
Voting History organization.
Voting Notices printed automatically at county level.

Election Management Components:
Absentee voting and provisional management capabilities
Automated ballot certification and ballot definition capabilities
Ability to Reduce paperwork for counties and the state
Interface for Election Night Returns
Comprehensive polling location and poll worker management for each Alabama county.
Store and Display Election information for each Alabama County.

Store, Log, and Display Provisional Voting Status for a Voter.
Ability to Update Voting History Record by Importing a File that Results from Scanning Election Poll Book and bar-coded documentation.
Utilization of Barcode Readers to scan a Poll Book and/or list of registered voters barcode directly into the VR Application to update Voter History.
Ability for each Alabama County to define, modify, create and coordinate election schedule.
Ability to Define statewide and/or county-based election calendar.
Ability to Define Election Schedule, precinct delivery and other precinct verification matters.
Ability to Define and Execute a Ballot Quantity Ordering Report by style and precinct within each Alabama county.
Ability to discern/report Contest Results by Precinct.
Ability to discern/report Contest Results by District.
Ability to discern/report Contest Results by Contest.
Ability to report, collect and discern contest results by Election.
Ability to Track and Assign voting equipment to Polling Locations by Election.
Ability to Import Election Definition Information from Previous Election Setups Into a New Election Definition.
Capable of bringing in District and Office Definitions from Previous Election to Populate Current Election.
Catalogue Receipt of Absentee Ballots, Absentee ballot applications, and related update cards...
Generate Notices to Voters Regarding certain voting procedures.
Generate Files or Print Streams for Mailing Labels.
Generate Barcodes for Envelopes.
Ability to Store Images of Envelopes or a Signature Clip.
Identification and management of Ballot Styles.
Generate Report of Ballot Styles and Quantities Needed for designated requests.
Generate a Report of All Voters Who Have Requested an Absentee Ballot.
Generate a Report of Voters Who Were Sent an Absentee Ballot.
Generate a Report of All Voters Who Have Returned an Absentee Ballot.
Ability to search for a Registered Voter from the Absentee Voter Screen.
Catalogue Rejected Applications, the Reason for Rejection and Notices and New Applications Sent to a Voter.
Ability to generate ballot accounting certificates populated with designated information for each Alabama county and precinct.
Capability to create Supplemental Poll Book Lists.
Tracking of Military Requests for Absentee Ballots. [Logged and Reported]
Coordination of Provisional Voter Information in Voter's History.
Ability to Add, Edit, Update and Delete Information Related to Polling Places.
Ability to Add, Edit, Update and Delete Information Related to Poll Workers.
Generation of Election Management Reports.
Recordation of Provisional Voter Information in designated areas including in Voter's History.
Ability to catalogue relevant Information About a Candidate.

EXHIBIT B

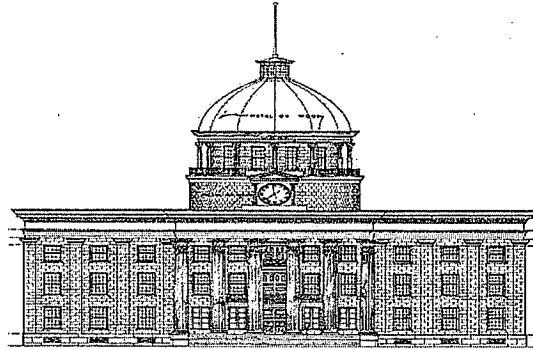


Alabama HAVA Implementation Commission

Sid McDonald, Chairman · Judge Richard “Rip” Proctor · Jim Bennett · Trey Granger

Proposed Meeting Agenda for November 16, 2006

1. Review and Discussion of Request for Proposal
2. Hybrid Aspects of the Alabama Solution – response to Bennett/Jeames document
3. Addition of Pilot Project Component to RFP
4. Modification and/or Approval of Request for Proposal
5. Authority to release Request for Proposal electronically on November 17, 2006
6. Review and discussion of Procurement/Implementation Dates – Site Visits
7. December 1, 2006 – Joint Session with HAVA Committee
8. Update on Comments to the Joint Legislative Review Committee
9. Operational Budget [See Attached]
10. Personnel and Staffing Structure
 - Project Management/Managing Commissioner – Primary Point of Contact
 - Assistant to Project Manager (Part Time – utilization of MEC Staff)
 - Clerical Assistant (Possibly Retired State Employee)
 - Technical Compliance Advisor (Part Time)
 - 2 Training Facilitators (Trained Trainers – possibly Registrar/former)
 - Runner (Shared with MEC – Part Time/College or Graduate Student)
11. Office Design and Coordination
12. Legislative and Budgetary Considerations – Parallel to Implementation
 - Title 17 – Chapter Four
 - Administrative Rules
 - Legislative Fiscal Office
 - House/Senate Committees on Governmental Appropriations
13. Scoring Committee [See Attached]
14. Field Assessments of Counties and Collaboration with Alabama Department of Finance and Related State/Federal Agencies
15. Other Issues



Issued and Implemented by the Governor Bob Riley and the
Alabama HAVA Implementation Commission

Sid McDonald, Chairman · Judge Richard “Rip” Proctor · Jim Bennett · Trey Granger

**Request for Proposal
Seeking Solutions for Alabama’s Statewide
Centralized Voter Registration System
and Compliance with Section 303 of
The Help America Vote Act (HAVA)**

November 17, 2006

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I. PROLOGUE

- A. ISSUING ENTITY AND PURPOSE OF THIS DOCUMENT: The State of Alabama initially issued a Request for Proposal (RFP) seeking to implement a statewide voter registration system in August 2003. The procurement process initiated in August 2003 and amended in September 2005 failed to yield a successful implementation for the State of Alabama. Subsequently, Alabama failed to meet the January 1, 2006, federal and state imposed implementation deadline. This document, entitled a Request for Proposals (RFP) for Alabama's Statewide Voter Registration and Election Management System, is a comprehensive revision and amendment of the previous versions of procurement instruments issued by the State of Alabama and is issued by the HAVA Implementation Commission of Alabama on behalf of his Excellency Governor Bob Riley, as Special Master. This Request for Proposals (RFP) is for the sole purpose of soliciting proposals for the comprehensive development and implementation of a statewide centralized computerized Voter Registration and Election Management System that meets and exceeds the requirements, recommendations, and mandates of state and federal authority, including Section 303 of the Help America Vote Act (HAVA) for the citizens and taxpayers of the State of Alabama.
- B. AUTHORITY OF THE SPECIAL MASTER AND HAVA IMPLEMENTATION COMMISSION: A Civil Action was filed in United States District Court for the Middle District of Alabama by the United States of America against The State of Alabama and Nancy L. Worley, Alabama's Secretary of State. The Honorable Keith Watkins, District Judge for the Middle District of Alabama, has presided over the matter and appointed Governor Bob Riley to serve as Special Master to oversee and direct the implementation of Alabama's effort to become compliant with the statutory and administrative requirements of the Help America Vote Act that pertained to the implementation of a statewide centralized voter registration system for the State of Alabama. Governor Riley, as Special Master appointed a four member Commission to effectuate the efficient and successful procurement, implementation, and functional establishment of Alabama's new Voter Registration

and Election Management System to meet and exceed the mandates of Section 303 of the Help America Vote Act. The Commission members are Sid McDonald, former State of Alabama Director of Finance, Legislator, and business leader; Lawrence County Probate Judge Richard "Rip" Proctor; Former Secretary of State Jim Bennett; and Trey Granger, Montgomery County Director of Elections.

- C. **IMPACT OF THE SYSTEM:** The proposed solution shall serve as the official voter registration list and database for the State of Alabama. This RFP seeks to implement a statewide uniform, interactive, platform structure that is supported by the day to day election-related and voter registration operations within and from each of Alabama's sixty-seven (67) counties. The proposed solution should be designed as a phased implementation and must meet the state and federal requirements of the Help America Vote Act (HAVA), specifically those critical compliance deadlines outlined and ordered by Judge Keith Watkins, United States Judge for the Middle District of Alabama. Note: The listed contact person for the HAVA IMPLEMENTATION COMMISSION will make available all relevant court documentation to interested participants. The successful vendor shall be responsible for an extensive review of such documentation to verify the strict mandates and timeframe for implementation established by the Court. The system will have a direct effect on all voter registration offices within the State of Alabama, requiring a centralized voter registration database along with electronic filing, management, and real time verification/interactive reporting for and from each voter registration office located in each of Alabama's sixty-seven (67) counties. The proposed solution and system should also be configured to provide state and local election officials with election management components that uniformly streamline all aspects of election administration at the county level, including but not limited to provisional voting, absentee voting, ballot style assignment, ballot management, and reporting of official and unofficial results to the State of Alabama. The system must meet all requirements of federal and state laws concerning voter registration, and may or may not be subject to pre-clearance by the United States Department of Justice.
- D. **EXPRESSION OF INTEREST:** Interested Vendors must notify The Alabama HAVA IMPLEMENTATION COMMISSION in writing of their interest in

responding to this RFP. This Expression of Interest (EOI) must be received in writing no later than November 27, 2006. Notice must be sent by regular mail and via e-mail to the address set forth below. All contact information, including a primary and secondary source of contact, from each vendor, including a return e-mail address must be provided along with the Expression of Interest, as this will be used to communicate with interested parties and provide such parties with amendments to and any modifications of this RFP.

- E. MANAGING COMMISSIONER AND CONTACT PERSON FOR COMMISSION AND SPECIAL MASTER: All Proposals and Expressions of Interest must be addressed to:

TREY GRANGER

The Alabama HAVA Implementation Commission

Post Office Box 4999

Montgomery, Alabama

36103

334.832.7744 – telephone 334.832.7131 - facsimile

treygranger@mc-ala.org – electronically

For proposal/parcel delivery and overnight service, please use:

125 Washington Avenue

Montgomery County Election Center - Suite 206

Montgomery, Alabama

36104

From the date of issuance of this RFP until the selection of a Contractor, if any, is announced, all inquires and questions concerning any aspect, component or part of this RFP shall be directed to the point of contact listed above. It is not permissible for any Respondent, or any entity working on behalf of a Respondent, to solicit

information from any government source (Federal or State) other than from the official point of contact listed above. Any unauthorized solicitations for information that are reported and confirmed are grounds for disqualification of the Respondent's Proposal from consideration.

- F. DUE DATE: Proposals must be received by The HAVA IMPLEMENTATION COMMISSION at the above address no later than 12:00 Noon (Central Time) on December 8, 2006. Respondent shall use the above referenced proposal/parcel mailing address when forwarding proposals to The HAVA IMPLEMENTATION COMMISSION. All proposals should be presented in a sealed envelope/package/container. The HAVA IMPLEMENTATION COMMISSION will validate each envelope/package upon receipt, by date and time stamp. All proposals will be opened and catalogued at 1:00 P.M. on December 8, 2006 in the presence of Commission Members and other interested parties. Each Respondent is solely responsible for assuring that its proposal is received by The HAVA IMPLEMENTATION COMMISSION in care of the individual designated above prior to noon on the due date established above in this paragraph. The HAVA IMPLEMENTATION COMMISSION shall not be responsible for late proposals, and late or incomplete proposals will not be accepted and/or considered. Changes and/or supplements to the proposal shall not be allowed after the above referenced deadline, except for those provided for and/or requested by The HAVA IMPLEMENTATION COMMISSION. Faxed or e-mailed proposals will not be accepted.

G. QUESTIONS REGARDING RFP:

1. Interested Respondents may submit **written questions** (preferably via e-mail) regarding this RFP to the listed point of contact for The HAVA IMPLEMENTATION COMMISSION.
2. Questions must be as short and concise as possible. Each question must cite the particular section of the RFP to which it relates.
3. All questions must be received by noon on November 29, 2006, and will be addressed during a joint session of all vendors at the Vendor Conference scheduled for December 1, 2006. Oral questions will be accepted and answered at the Vendor Conference.

Any oral explanations, answers or instructions written, oral or otherwise given by The HAVA IMPLEMENTATION COMMISSION during the procurement process shall not bind The HAVA IMPLEMENTATION COMMISSION should an amendment or modification become necessary in the procurement or implementation process.

- H. COST: Respondents are solely responsible for paying all costs incurred as a result of responding to, and complying with, this RFP.

II. PROCEEDURAL COMPONENTS FOR IMPLEMENTATION

- A. PRE-SELECTION DISCRETION: The HAVA IMPLEMENTATION COMMISSION reserves the right, at its sole discretion, at any time and for any reason, to reject any, all, or any portion of the proposals submitted in response to

this RFP, or to cancel the RFP, if it is deemed necessary by The HAVA IMPLEMENTATION COMMISSION and/or the Special Master.

- B. POST-SELECTION DISCRETION: If a Proposal is selected, The HAVA IMPLEMENTATION COMMISSION and/or the Special Master reserves the right, at its sole discretion, at any time and for any reason, to change its decision with respect to the selection and to select another Proposal, or to cancel the RFP, if it is deemed by The HAVA IMPLEMENTATION COMMISSION to be in its best interest to do so.
- C. WAIVERS: Notwithstanding the amendment provisions otherwise set forth herein, The HAVA IMPLEMENTATION COMMISSION and/or the Special Master reserves the right, at its sole discretion, to waive any minor irregularity in an otherwise valid proposal which would not jeopardize the overall system and to award a contract on the basis of such a waiver in the event The HAVA IMPLEMENTATION COMMISSION and/or the Special Master determines that such award is in the best interest of the citizens of the State of Alabama. Minor irregularities are those which will not have a significant, adverse effect on overall system cost or performance and are determined at the sole discretion of The HAVA IMPLEMENTATION COMMISSION and/or the Special Master.
- D. NEGOTIATIONS: The HAVA IMPLEMENTATION COMMISSION reserves the right to negotiate with any applicant whose Proposal is within the competitive range with respect to technical plan and cost, as well as to select an applicant other than the applicant offering the lowest price, if it is determined by The HAVA IMPLEMENTATION COMMISSION and/or the Special Master to be in its best interest to do so.
- E. DISCLAIMER: Issuance of this RFP does not constitute a commitment by The State of Alabama, The HAVA IMPLEMENTATION COMMISSION and/or the Special Master to select any Proposal submitted in response to the RFP, or to award a contract to any applicant who responds to the RFP.

- F. NO GUARANTEE OF CONTRACT: Recommendation and/or selection of a Proposal **shall not** be binding upon the Special Master/and or The HAVA IMPLEMENTATION COMMISSION and may or may not, at The HAVA IMPLEMENTATION COMMISSION'S sole discretion, result in the Special Master, The State of Alabama, and/or The HAVA IMPLEMENTATION COMMISSION entering into a contract with the Respondent. NOTE: A resulting contract, if any, is subject to the review of Alabama's Joint Legislative Contract Review Committee and approval of the Governor in his official capacity.
- G. ADOPTION OF IDEAS: The HAVA IMPLEMENTATION COMMISSION reserves the right to adopt and use any and all, or any part, of a Respondent's Proposal and to use any idea or all ideas presented in a Proposal.
- H. ORAL PRESENTATIONS: The HAVA IMPLEMENTATION COMMISSION shall require all responding vendors to provide oral presentations of their systems and proposed solutions at a vendor conference on December 1, 2006. This presentation shall include a demonstration showing that the services offered meet the specifications as described therein. Vendors will assemble at 8:00 A.M. in the Old Archives Room of the Alabama State Capitol, 2nd floor, for a Vendor Conference that will be conducted from 10:00 A.M. until 2:00 P.M. This conference will allow members of the Commission, members of the Alabama HAVA Committee, local and state election officials, advocacy representatives, members of the Alabama Legislature, media representatives and other stakeholders or interested citizens to have an opportunity to review the systems of interested vendors. Oral presentations will be scheduled for each vendor to make a presentation to a joint session of the members of the HAVA Committee and The HAVA IMPLEMENTATION COMMISSION at designated intervals on December 1, 2006. These presentations shall be conducted in the Capitol Auditorium and can include electronic/PowerPoint components. Respondent will be notified by e-mail of the exact time and length of the oral presentation on or before noon on November 28, 2006. A Question and Answer session for all vendors, collectively, will be conducted subsequent to the last vendor presentation. The final agenda and procedural

framework for December 1, 2006, will be provided to each participating vendor in the November 28, 2006, e-mail previously noted herein. All vendors should be aware that participation in the December 1, 2006 sessions is mandatory for any and all vendors who plan to submit a proposal to The HAVA IMPLEMENTATION COMMISSION on December 8, 2006. The HAVA IMPLEMENTATION COMMISSION reserves the right to require designated vendors to participate in an additional oral presentation after the date of submittal and prior to a contract award, if any.

- I. SITE VISIT: The Respondent shall recommend at least two (2) statewide implementations and/or large county implementations of a similarly positioned project. The Respondent shall recommend and provide a brief narrative and the names and contact information of designated persons who could assist in facilitating a site visit to the recommended implementation location. The HAVA IMPLEMENTATION COMMISSION shall schedule and utilize a site visit as a portion of the evaluation and/or review of a vendor's proposal.
- J. AMENDMENTS: The HAVA IMPLEMENTATION COMMISSION reserves the right to amend this RFP in part or in whole. Except as provided above with respect to "WAIVERS" made by The HAVA IMPLEMENTATION COMMISSION, all amendments to the RFP shall be made by written addendum issued by The HAVA IMPLEMENTATION COMMISSION and will be mailed and/or electronically forwarded to all Vendors who submitted a proposal to this RFP issued November 17, 2006.
- K. PILOT COUNTIES: The HAVA IMPLEMENTATION COMMISSION shall establish a designated number of counties, representative of the sixty-seven (67) Alabama Counties to participate in a pilot program that shall be a forerunner of the full implementation of all aspects of the proposed solutions. Pilot counties shall be selected by The HAVA IMPLEMENTATION COMMISSION.

III. PROJECT SCOPE AND OVERVIEW

SCOPE: The HAVA IMPLEMENTATION COMMISSION of Alabama has been assembled by Governor Bob Riley, acting as Special Master. As Special Master, Governor Riley is the chief elections officer of the state for the implementation of a statewide voter registration system whose jurisdiction, power, and duties are prescribed, ordered and established by the United States District Court for the Middle District of Alabama. The HAVA IMPLEMENTATION COMMISSION has been appointed by the Special Master, charged and vested with the responsibility for the procurement and implementation of a fully HAVA-compliant voter registration and election management system within the State of Alabama. The HAVA IMPLEMENTATION COMMISSION requires an interactive centralized computerized Voter Registration System which must comply with state and federal laws to provide for a centralized statewide database of all registered voters within the State of Alabama. The primary goals of this system are to provide for the entry, storage, retrieval, and reporting of voter registration information for each County Voter Registration office within the state, as well as, to provide access to voter registration information and election management resources for each Probate Judge's office. Counties may independently provide designated and legally available components of the system to both the Sherriff's Office and the Circuit Clerk's office within that county. Alabama's new voter registration system should be developed and designed as a visionary model to insure that (a) a uniform statewide data structure is created and maintained, but also reported from the 67 counties to the State, (b) a designated hardware architecture is established among the counties supportive of the State, (c) a uniform software structure among the counties interactive with designated agencies at the State level, and (d) continuous, high-speed real time connectivity among the (67) counties and the State for interactive data entry, data management, and data inquiry. Interaction with various State Agencies will be necessary to comply with the mandates of HAVA. Such interaction shall include, but not be limited to The Alabama Department of Public Safety, The Alabama Department of Public Health, The Alabama Department of Information

Systems – a division of the Alabama Department of Finance, and the Alabama Administrative Office of Courts. The system shall be designed as a single statewide central platform supported by a foundation of 67 footings. The hardware, software, operation, and interaction of each footing would be identical to that of the parenting platform, but would allow for local functionality in effectuating election requirements for those counties who seek system redundancy at the local level. Local redundancy, as a security feature and operational enhancement, shall be addressed by responding vendors as a necessary operational feature for those counties, particularly metropolitan counties, who seek and authorize collaboration with The HAVA IMPLEMENTATION COMMISSION. Local redundancy shall be included as an essential, but structured as a phased component of implementation and should be specifically addressed and set forth in the Vendor's Proposal in a fashion that will be most beneficial and complimentary to achieving compliance with those mandatory deadlines designated by the Court. Local redundancy is a significant and important issue to this Commission and should be addressed in detail in the responding vendor's proposal setting forth the Alabama Solution.

OVERVIEW: The 67 supporting counties would report in real-time fashion to the central platform or database, but would be able to function efficiently and/or independently should there be an unexpected interruption at the state level or in some location in a portion of the state. There shall be no variation between the state system and that information stored at the county as a supporting sub-component. All new registrants shall be verified through the interconnected multi-agency database network established with the new system prior to becoming a permanently maintained/recognized record on the new statewide centralized voter registration system in Alabama. (See Section V Paragraph J – page 25 of this document) All aspects and components of the statewide system shall be audited on a routine basis to maintain the integrity and parallel nature of the local redundant back-up. The centralized platform or database maintained at the State level would exactly mirror information maintained within each local county courthouse. Each county, operating as a "footing" would be able to operate as a component, in the event of an

emergency or time-sensitive period, of the whole but also independently with the exact same data provided in real time to the State and verified through the state system. The system components (hardware and software) should be identical in every county seeking redundancy; therefore, different systems shall not be permitted, allowed or maintained in some counties while other variations are operational in a different jurisdiction.

Secondly, the new system should include state-of-the-art structural components that can immediately be utilized in many counties but not overwhelm rural or small counties with limited resources and/or personnel. The proposed solution should include the following system capabilities when creating the components for procurement: GPS and GIS mapping, the automated creation of all legal and administrative notices, mailing of voter registration cards, maintaining/validating voter information, electronic document imaging, enhanced statewide search for all county officials, state of the art query and tracking tools, electronic Windows-based creation and maintenance of voting histories, public information, electronic maintenance of voter activity, NVRA tracking, automated precinct and jurisdictional assignment, integration with electronic poll books within the system, electronic tracking of duplicate registrations and cancellations, postal bar-coding, importing and exporting of image filings, ability to create customized notification reports and cards for each county and/or the State, provide CASS Certification, allow searchable fields on the system at the State and/or local level, track all voter activities (name change, address change, new registration, etc.), provide function where mass precinct and district changes are required, provide function where mass address changes are required, and generate lists, reports, and related documentation by county, district, street, city, or precinct. The selected proposal and solution shall be the single system for storing and managing the official list of registered voters in Alabama, and it should also be a system for use in each of the sixty-seven (67) counties which comprise the State of Alabama.

The third and final component of the desired multi-phased system is that the Alabama voter registration system be designed to also serve as an election

management resource for each of the sixty-seven (67) counties and the State of Alabama. The new system should streamline, integrate and insure the following election related duties: entering provisional voter information in a voter's history and all other aspects of provisional voting, creation of election management documents, comprehensive election management, logging and reporting military requests for absentee voting, absentee voting reports (requesting and voting), detailed reports for ballot styles and necessary quantities based on registration information, identify and list ballot styles, the ability to electronically store images of election documentation, generate barcodes for mailing documentation and creation of a list of registered voters, create election schedules and deadline management, creation of election definitions, ability to track and assign precinct locations, ability to track and collect race results by election, race, district, precinct, etc., provide a comprehensive platform and solution for poll-worker management, a designated interface for "un-official" election night returns, automation for ballot certification and ballot definition, a pathway for uniform reporting of election results from the county to the state, and provide for early-voting and/or internet voting should Alabama adopt early voting and/or internet voting in the future.

The Alabama Solution should be a multi-phased implementation that is designed to first achieve compliance with the mandates of HAVA and the deadlines set forth by the United States District Court for the Middle District of Alabama, and secondly to insure those requested components of election management and local redundancy in designated or subscribing jurisdictions that will enhance the administration elections in each of Alabama's 67 counties.

IV. SYSTEM REQUIREMENTS

- A. **DISTRICTING:** The State of Alabama is divided into federal house districts, state senatorial districts, state house districts, state court districts, counties, and municipalities. Counties are further divided into school board districts, commission districts, and fire districts; municipalities are further divided into school board districts and council districts. The voter registration system shall support these and any additional districts or precincts specified by the state or any county or municipality in order for such jurisdictions to conduct an election. There are sixty-seven (67) counties within the state, each having one or more voter registration offices. There are an estimated 2,800,000 registered voters within the state. Each voter is assigned proper district and precinct numbers based on his or her residence address (a voter may be assigned to vote at different precincts for different types of elections). The precinct number corresponds to a polling place where the voter is expected to cast his or her vote for each election. There are approximately 2,300 precincts within the state of Alabama. Multiple Ballot styles are utilized in elections within many of Alabama's 2,300 precincts.
- B. **DEMOGRAPHICS:** The new statewide interactive centralized computerized voter registration system shall be procured and implemented by The HAVA IMPLEMENTATION COMMISSION, but ultimately administered and maintained by the Alabama Secretary of State's Office. The new interactive database shall consist of demographic information such as name, residence address, mailing address, date of birth, race, sex, etc., as well as district and precinct information as discussed and any other information deemed necessary by The HAVA IMPLEMENTATION COMMISSION to comply with federal and/or state laws pertaining to the voter registration system. Each voter record will be assigned a unique identifier as set forth in paragraph (E) below.

- C. TRANSACTIONS: All transactions against the voter registration database shall be retained by the system and properly archived as prescribed by prevailing statutory authority, and/or administrative rule when appropriate. A complete voting history of each registered voter shall be maintained by the system. Voter precinct and district information must be furnished by the system based upon the residential address of the registrant. A secure and auditable means of address validation must be included in the system and proposed solution recommended by the vendor.
- D. IDENTIFIER ASSIGNMENT: The proposed system is to assign a unique identifier consisting of the 2-digit county number (01-67) concatenated with a seven digit sequential number. The system must also provide data fields for other identifiers: 1) driver's license number or non-driver's license number and 2) the last four digits of an applicant's social security number. The HAVA IMPLEMENTATION COMMISSION must have access to various governmental (state and federal) agencies to validate the source of the identifier. Such agencies include but are not limited to: the Alabama Department of Public Safety, The Alabama Department of Public Health, The Alabama Administrative Office of Courts, and the Information Services Division of the Alabama Department of Finance.
- E. MAINTENANCE OF VOTER REGISTRATION RECORDS: The statewide centralized voter registration system shall be designed to accommodate the various statutorily designated processes and applications for the maintenance and administration of the voter list, to include the purging of disqualified voters and the reactivation of the same. Selected sections of Chapter 4 of Title 17 of the Code of Alabama, as amended, addresses the methodology and process that shall be administered in consideration of such provisions. Voter registration records which are marked as purged from the list of active records shall be coded to identify the cause of the purge. Various statutorily prescribed sources of information shall be utilized in this process and shall be considered in the Respondent's proposal. (Note: A dedicated line may be required. Access may not currently exist.)

- F. VOTER REGISTRATION RECORDS FOR INACTIVE VOTERS: The system must provide the ability to designate voters as "inactive" when members of the Boards of Registrars have questions about a voter's registration qualifications (e.g., when there is a question about a voter's residential address). A registrant who has been noted as "inactive" and wishes to be reactivated must complete and file with the voter registration office a Voter Re-identification "Update" Form to reactivate his or her record. A designation of "inactive" does not adversely affect a voter's voting rights, except to the extent that a voter must complete a voter update form to exercise his or her right to vote. Inactive voters must be included in all statistical reporting. Reports produced periodically regarding voter registration county-by-county and statewide must provide separate totals for active, inactive and both inactive and active voters, in addition to other demographic categories (e.g., race, age, gender).
- G. REPORTING: Reporting shall include but not be limited to precinct lists, the various district lists, municipal lists, county lists, statewide lists, and statistical reporting. Proper precinct lists will be printed before each election at the local jurisdictional level. All lists, reports and related documentation are to be "certified" to indicate they are produced by the state voter registration system.
- H. COMPREHENSIVE MAILINGS. The system must be able to print mass mail-out labels, envelopes or postcards presorted at the local and state level and in such formats to maximize the jurisdiction's (state or local) ability to take advantage of mailing discounts available from the U.S. Postal Service (in First Class or Standard Mail classes, etc.). The system must be designed to the support and/or provide CASS certification for addresses. The system must provide the ability to print mail-out materials on-demand and meet all requirements of §17-4-201, Code of Alabama (1975). Pursuant to §17-4-201, Code of Alabama (1975), the system must provide for the administration and maintenance of the suspense file that is created in conjunction with the specified mass mail-out, to include, but not be limited to, tracking the specified data elements and automating the purge process for voters

who have not voted or updated in the required period of time as set forth in the Code of Alabama.

- I. FUNCTIONAL OPERATION: The voter registration system must be designed to prevent an interruption of day-to-day operations at the county and/or state level.
- J. DATA MIGRATION: Implementation of the Voter Registration System will require the migration of current voter registration data (including district, precinct, etc.) stored on the Department of Finance's Information Services Division (ISD) mainframe system. A detailed and secure method of data validation, migration and correction will be required. The area code for the telephone numbers of registrants must be ascertained and included in the new database, as the current Alabama voter registration database does not contain the area code of some registrants.
- K. BAR CODING: The voter identification number is to be bar-coded for scanning during the voter update process and other aspects of the administration of elections, including but not limited to: the creation of a jurisdiction's list of registered voters, documents tracking, and other election management components.
- L. DISTRICT AND PRECINCT ASSIGNMENT: The system requires the capability to identify precinct and district voting data based upon the residential address provided by the individual. The proposed solution should include the capability of defining redistricting and precinct changes electronically.
- M. MAPPING SYSTEM OPTION: A GPS/GIS mapping system shall be installed at the state level to allow individual Boards of Registrars the capability of identifying voting precincts and districts. The cost of this mapping system shall be included in the proposal total and should be distinctly itemized in all budgeting considerations contained in the Respondents' proposal. The mapping system shall be accessible by all Alabama counties.
- N. SCANNING OPTION: The ability of each local Board of Registrars and other local election officials to scan, store, retrieve, and print existing and subsequent voter registration cards and/or other election-related documentation and correspondence

shall be included in the vendor's proposal and recommendations. The cost of this system component shall be included in the proposal but should be listed as a proposed budgeting consideration in the addendum.

- O. CASS OPTION: A CASS certification component for address support shall be included in the vendor's solution.
- P. MILITARY VOTING: The proposed solution shall include recommendations and solutions to accommodate deployed military and overseas voting pursuant to the Uniformed and Overseas Citizens Absentee Voting Act (UOCAVA) and any and all electronic voting procedures subsequently adopted by the State of Alabama.
- Q. VOTING ACCESSABILITY: The proposed solution shall include as a prominent component of the system a feature to catalogue and identify voters who have specific issues relating to voting and/or polling place accessibility. A proposed solution shall fully establish a comprehensive measure to notify local election officials of voter-related issues on a precinct-by-precinct basis. Reports shall be designed to provide a uniform, icon, code and/or notation on the official list of registered voters distributed to a precinct on Election Day or maintained by the County's chief election official and/or his or her designee.
- R. ELECTRONIC FILE: The proposed solution shall be designed to electronically record and maintain an electronic file (possibly a PDF format) of the lists of registered voters distributed and utilized in all elections conducted in the State of Alabama.
- S. SOLUTION COMPONENTS: Vendors should include the following listing of framework components as vital to the preferable solution for implementation in Alabama. Each vendor shall specifically address each listing and briefly set forth the structure of each component in the recommended solution.

Voter Registration Components:
Ability to Automatically Assign Precinct and Jurisdictions for Voter.
Ability to catalogue Voter Replies to Notices via an Indexed Image File.
Ability to conduct a mass purge of designated voters.
Ability to create All Required Notices
Ability to Create Customized Notification Reports
Ability to Define Customized Notification Reports
Ability to Display Voter Information by Street that Includes District, Precinct, and Past Elections
Ability to Format Data for Electronic Poll Books.
Ability to Generate Bar Codes of Voter Identifier for Printing.
Ability to Inquire and Display Voters by Street
Ability to limit Specific User Access to a designated Screen or Set of Screens
Ability to Mass Cancel Suspense Voters
Ability to Print Voter Registration Cards
Ability to Print Voting Notices
Ability to Search all data fields/elements.
Ability to store electronic Copy of Notices.
Ability to Track All Voter Activities [Registration, Voting, Address Change, Name Change]
All Voter Information Fields are Searchable.
Automated Creation and Retention of Fees for Forms, Lists, Reports
Automatic Assignment of Precinct Information.
Capability for Voter Assigned Unique Identification Number
Capability to Develop Reports, Queries and Analysis Information.
Capability to identify a Qualified Person with a disability who needs special accommodation at precinct.
Capability to Index and Image File returned cards and/or mailings
Capability to List Precincts within a Particular Street, district, or other geographical boundary.
Capability to view and print a List of Voters within a Particular Street
Complete NVRA Tracking capability.

Components to automatically update Street Index Files.
Comprehensive Bar-coding components.
Coordination of Mass Mailing of Voter Registration Cards
Creation of Custom Reports.
Designed to Generate Image Print File from Voter Record.
Designed to Generate Lists by County, District, Street, or Precinct
Development of Migration Process for Moving Existing County GIS Data to ESRI Compatible Data.
Electronic capability for sending all Required Notices
Electronically Access Images for/from Voter Record.
GIS mapping and document imaging.
GPS/GIS Mapping Functionality
Images are Indexed to Voter Record.
Integrate CASS Certification Functionality.
Mail Merge Process utilized for automated processing of specific mailings.
Management of Public Information Fees
Operational GIS Mapping Tools
Organize, report and accommodate Public Information Requests
Pending Action "To Do" List
Performance Based Management
Postal Bar-coding for Forms and Letters.
Provide an Import Capability for GIS Data
Provide Basic Map Tools for Manipulation of Maps.
Provide Electronic Files or Print Screens for Printing and Management of Labels, Envelopes, Notices, Postcards, Forms, Form Letters and Other Required Documents.
Provide Function Where Mass Address Changes can be Made.
Provide Function Where Mass Precinct and District Changes can be Made.
Provide Read Only Information of Voter Information to designated officials.
Provide Real-Time Updates
Provide Real-Time Updates for Counties
Provide Standard Report Map Queries.
Provide the Ability to Import and Export Image Files

Require all Changes be Recorded in the System Audit Trail.
Scanning - Logs and Stores Image Files of Correspondence and Replies form Voters/Applicants.
Search Capability of designated field listed upon the Voter Registration Application
State-of-the-art reporting and query tools
Statewide search capability for all county officials
Statistical Reports capabilities
Street Standardization capabilities.
Supports Internationalized Addresses.
Suspense List Management capabilities.
The Proposed Solution Shall be the Single System for Storing and Managing the Official List of Registered Voters throughout the State that interacts and coordinates the lists maintained in each Alabama County which comprise the "statewide" list.
The Proposed Solution Shall have User Account Management Security Capabilities to Setup parameters which define access to Specific Areas of the System and Data to Allow any Election Official in the State, including any local Election Official, to Obtain Immediate Access.
The Solution may or may not be "Web Based"
Unique Password capability for each county user.
Validation of voter information.
View Voter Signature from Poll Book Link.
Voter Activity History maintained and organized with designated criteria.
Voter cancellation tracking and reporting components.
Voter Election Website - Linked to counties, precinct and contents on the Ballot
Voting History organization.
Voting Notices printed automatically at county level.

Election Management Components:
Absentee voting and provisional management capabilities
Automated ballot certification and ballot definition capabilities
Ability to Reduce paperwork for counties and the state
Interface for Election Night Returns
Comprehensive polling location and poll worker management for each Alabama county.
Store and Display Election information for each Alabama County.

Store, Log, and Display Provisional Voting Status for a Voter.
Ability to Update Voting History Record by Importing a File that Results from Scanning Election Poll Book and bar-coded documentation.
Utilization of Barcode Readers to scan a Poll Book and/or list of registered voters barcode directly into the VR Application to update Voter History.
Ability for each Alabama County to define, modify, create and coordinate election schedule.
Ability to Define statewide and/or county-based election calendar.
Ability to Define Election Schedule, precinct delivery and other precinct verification matters.
Ability to Define and Execute a Ballot Quantity Ordering Report by style and precinct within each Alabama county.
Ability to discern/report Contest Results by Precinct.
Ability to discern/report Contest Results by District.
Ability to discern/report Contest Results by Contest.
Ability to report, collect and discern contest results by Election.
Ability to Track and Assign voting equipment to Polling Locations by Election.
Ability to Import Election Definition Information from Previous Election Setups Into a New Election Definition.
Capable of bringing in District and Office Definitions from Previous Election to Populate Current Election.
Catalogue Receipt of Absentee Ballots, Absentee ballot applications, and related update cards.
Generate Notices to Voters Regarding certain voting procedures.
Generate Files or Print Streams for Mailing Labels.
Generate Barcodes for Envelopes.
Ability to Store Images of Envelopes or a Signature Clip.
Identification and management of Ballot Styles.
Generate Report of Ballot Styles and Quantities Needed for designated requests.
Generate a Report of All Voters Who Have Requested an Absentee Ballot.
Generate a Report of Voters Who Were Sent an Absentee Ballot.
Generate a Report of All Voters Who Have Returned an Absentee Ballot.
Ability to search for a Registered Voter from the Absentee Voter Screen.
Catalogue Rejected Applications, the Reason for Rejection and Notices and New Applications Sent to a Voter.
Ability to generate ballot accounting certificates populated with designated information

for each Alabama county and precinct.
Capability to create Supplemental Poll Book Lists.
Tracking of Military Requests for Absentee Ballots. [Logged and Reported]
Coordination of Provisional Voter Information in Voter's History.
Ability to Add, Edit, Update and Delete Information Related to Polling Places.
Ability to Add, Edit, Update and Delete Information Related to Poll Workers.
Generation of Election Management Reports.
Recordation of Provisional Voter Information in designated areas including in Voter's History.
Ability to catalogue relevant Information About a Candidate.

V. OPERATIONAL AND TECHNICAL COMPONENTS

A. **SYSTEM ARCHITECTURE:** The Voter Registration System, as an interactive, centralized statewide database shall include both a primary platform server, a redundant hot site server(s) that shall serve as the official statewide voter registration listing in Alabama and the capability of local redundancy for subscribing counties. The primary server shall be housed in a technologically and physically secure environment within the Alabama State Capitol campus. A statewide redundant location, geographically diverse from Montgomery, Alabama shall be recommended by the successful vendor, designated through collaboration with state officials, and finalized during the initial phases of implementation.

B. **SYSTEM REDUNCANCY:** The system must provide for a fully functional redundant site backup at the state and local level. A redundant server(s) will serve as the hot site backup system, and shall perform load-balancing with the primary server. In the event that either server goes down, the remaining server shall take over automatically until the compromised server is restored to full operational capacity. Both servers, primary and redundant, shall have sufficient and reserve capacity in and of itself to efficiently carry the full load of the system in the event

either server goes down. County redundancy shall be a phased option that shall be specifically addressed in the vendor's proposed solution.

C. NETWORK CONNECTIONS: Network connections shall be established for all counties connecting the Probate Judge's Office and the Boards of Registrars' offices to each other and the primary and redundant servers at the state level. Counties may choose to provide limited and legally available access to both the Sheriff's Office and the Office of the Circuit Clerk. Interconnectivity is also required at the state level with designated state and federal agencies previously listed in this RFP. Respondent shall recommend a comprehensive and fully functional network/ infrastructure framework for these connections. Respondent shall recommend any and all hardware, software, and components of connectivity necessary to establish these connections and the approximate (estimated) cost of the comprehensive application shall be clearly and distinctly set forth in the vendor's response. A listing of such components shall be included as a specifically noted exhibit within the proposal's pricing schedule. Respondent shall state the approximate/estimated costs of licensing, ongoing leases, if any, or other third-party costs for these connections. The vendor shall also provide a recommended methodology for the procurement of such a framework both statewide and intra/inter-county connectivity. The costs of the hardware, software, lines of connectivity, and any ongoing leases are NOT to be included in the proposal total. Respondent shall perform/manage all installation, configuration, and testing of the network to ensure proper access to the voter registration system. All connections must be secure and established in an environment that will retain the security and integrity of the connection. Immediate and long-term maintenance for these connections shall be included (proposed/recommended) in the maintenance pricing schedule for the voter registration system.

D. UNASSISTED LOCAL BACKUP: The system must provide unassisted local backup.

E. USER FRIENDLY: The system must be windows based and user friendly.

- F. HELP SCREENS: The system must present help screens to assist the user.
- G. NO UNAUTHORIZED ACCESS: The system must include a comprehensive security feature and prevent unauthorized access to its data.
- H. DISCRETIONARY ACCESS: The system must implement a discretionary access protection scheme.
- I. ROLE-BASED ACCESS: The system must internally provide role-based access to the data.
- J. INTERACTIVE ACCESS: The system must be able to access The Alabama Department of Public Safety's system to verify driver's license information.

The system must be able to access Department of Public Health's vital statistics information for purging dead voters' registration records.

The system must be able to access The Alabama Administrative Office of Courts database for purging voters' registration records based on their having been convicted of a felony involving moral turpitude, as may be now or in the future defined judicially or legislatively.

- K. EXISTING STATE NETWORK: The system must be compatible and operational with existing state networks.
- L. FRAME RELAY: The system must operate on a minimum of frame relay.
- M. REMOTE CONTROL OF DESKTOP: The Respondent shall recommend software that will allow the remote takeover of a desktop by administrators. The cost of the software is NOT to be included in the proposal total.
- N. ANTIVIRUS, FIREWALL, INTRUSION DETECTION: The Respondent shall recommend hardware and software that will provide antivirus, firewall, intrusion detection, and comprehensive protection. The cost of the hardware and software shall NOT be included in the proposal total, but listed as a budgetary item for procurement consideration.

- O. SYSTEM AVAILABILITY: The system must maintain 99% availability.
- P. AUDIT TRAILS: The system must provide a detailed audit trail for all data-affecting transactions.
- Q. DATA INTEGRITY: The system must insure, protect, and validate the integrity of system data.
- R. ERROR LOGGING: The system must provide for the logging of errors and exceptions.
- S. TRAINING: Comprehensive, viable, and in some instances remedial training of all system users and stakeholders is a critical aspect of the proposed solution that must be addressed in each phase of the system implementation. The court imposed deadline of compliance on or before August 31, 2006, requires that the training aspect of the implementation be streamlined to maximize efficiency and knowledge for all stakeholders, while also providing remedial sessions and coursework for those who need assistance with basic operation and/or computer skills to become proficient with the operation of the proposed solution. The Respondent must design, recommend, implement and coordinate administrator/user training. The comprehensive training schedule and content of all training materials must be implemented in agreement with and approved by The HAVA IMPLEMENTATION COMMISSION, specifically the Commission's designated coordinator, so as to provide optimum benefit to The HAVA IMPLEMENTATION COMMISSION, local election officials, state and county stakeholders, who are and shall become the designated users of the new system. Training must be provided at multiple locations coordinated, administered in conjunction with, and approved by The HAVA IMPLEMENTATION COMMISSION. Local, on sight training, will be mandatory for each location. The HAVA IMPLEMENTATION COMMISSION recognizes that various stages of training might contemplate regionalized or multi-county sessions; however, each local collaboration county election officials, including the designees of the chief election official of the

county, shall receive local training as designated by The HAVA IMPLEMENTATION COMMISSION.

- T. SYSTEM MAINTENANCE: Maintenance of the proposed system must be provided through an annual maintenance and service agreement for an initial five year period, which must specify comprehensive service levels, provide a full warranty and maintenance agreement for the designated five year period, and a detailed listing of all associated costs. A designated option for maintenance agreements for additional years beyond the initial five year period must be provided and clearly noted in vendor's proposal. The cost for the additional year(s) beyond the initial five year period shall NOT be included in the proposal total buy listed as an incremental factor (stated percentage) increase per annum for such service and maintenance agreement in succeeding years.
- U. SYSTEM SUPPORT: System support must be provided for inquiries during normal work hours (Monday – Friday, 8 a.m. to 5 p.m. Central Time).
- V. TECHNICAL SUPPORT LOG: A detailed and comprehensive log shall be maintained of all technical support issues, any actions taken, and resolutions.
- W. HELP DESK: The Respondent is to recommend help desk tracking software. The cost of this software is NOT to be included in the proposal. Vendor is to provide a local (stationed in Montgomery, Alabama) help desk for one year from the date of full implementation.
- X. BACKUP AND RECOVERY DOCUMENTATION: Backup and recovery procedures must be documented in both the user's manual and the administrator's guide.
- Y. ACCEPTANCE TESTING: User acceptance testing must be completed at a location designated by and at the direction of The HAVA IMPLEMENTATION COMMISSION in Montgomery, Alabama. The respondent must provide a User Acceptance Plan.

- Z. QUALITY ASSURANCE: Quality Assurance Testing must be done at the unit, component and system level.
- AA. SPECIFICATION DOCUMENT: The Respondent must provide a Product Specification Document or Design Specification Document.
- BB. FUNCTIONING SYSTEM: The Respondent must provide an implemented and functioning system with acceptable response time.
- CC. MANUALS and GUIDES: The Respondent must provide six (6) user manuals and two administrator guides in hardcopy format along with softcopies of each on CD. The HAVA IMPLEMENTATION COMMISSION requests permission to reproduce both hardcopy and softcopy for distribution to current and future users and administrators of the voter registration system. The HAVA IMPLEMENTATION COMMISSION shall require the vendor to provide each of Alabama's 67 counties ten (10) copies of operational manuals, training manuals and troubleshooting guides. The vendor should also state the cost of additional printed copies when requested by local or state officials when needed for new employees or to replace a lost or damaged document. The cost for additional copies should not be included, but listed as a budgetary item in the proposal cost.
- DD. IMPLEMENTATION DEADLINE: The Respondent is to begin implementation of the system upon completion of the award and approval process as designated by Alabama Statute. The Respondent shall be responsible for acquiring, reviewing, and comprehending the various orders and memorandums authored by the United States District Court for the Middle District of Alabama in the litigation impacting this procurement. The successful vendor shall be required to warrant and represent that compliance can be attained prior to the deadline designated by the Court.

VI. SUBMISSION OF PROPOSALS

- A. NUMBER OF COPIES: The Respondent must submit one original printed copy of its Proposal along with forty (40) additional printed and bound copies and a soft copy on a properly labeled CD which is to present ALL TECHNICAL AND PRICING DATA clearly, accurately and comprehensively.
- B. SIGNATURES: The original Proposal must contain the original ink signature of the person(s) legally authorized to bind the Respondent to the Proposal. The original Proposal should be stamped and/or otherwise annotated so that The HAVA IMPLEMENTATION COMMISSION can easily identify that document which bears the original signature.
- C. NATURE AND FORMAT OF PROPOSALS: Proposals should be tailored to specifically address the needs and requirements of the State of Alabama. To be considered, the Proposal must be concise; describe the Respondent's ability to meet the RFP requirements; comply with the timeliness specifications of the RFP; and, provide a specific schedule of implementation that is consistent with the time constraints specified in this RFP. The Proposal must also be responsive to the content and format specifications, in an organized, catalogued, tabbed and indexed sequence, adherent to the chronology specified in this RFP. All material submitted in response to this RFP shall become property of The HAVA IMPLEMENTATION COMMISSION and/or the Special Master.
- i. The Proposal must include a **cover letter** with an original signature of the person(s) legally authorized to bind the Respondent to the Proposal. The cover letter shall also include a primary and secondary contact person who is authorized to act on behalf of the respondent.
- ii. The **Project Narrative** shall follow the cover letter. Number the pages of the Project Narrative, beginning the narrative with page 1. Page numbers should be centered in the bottom margin. The Project Narrative must follow the outline prescribed in Section VII of this RFP.

- iii. The Project Narrative should be followed by a **Proposed Project Budget**, tabbed, indexed and completed in accordance with pricing instructions contained in Section VIII of this RFP.
- iv. The Proposed Project Budget should be followed by a **Budget Addendum**, which explains the items listed in the Proposed Project Budget. The budget addendum should include all optional and recommended items. The cost of these items should NOT be included in the Proposed Project Budget but should be listed as a proposed (estimated) budgeting consideration in the addendum.
- v. The Budget Addendum should be followed by **an audited financial statement** covering the Vendor's most recently concluded fiscal year, the current fiscal year and the projections for next fiscal year.
- vi. The **Disclosure Statement**, as required by Act 2001-955, should follow the financial statement.
- vii. References as described in Section X should be attached after the Disclosure Statement.

D. **TRADE SECRET INFORMATION:** Upon submission, all proposals become the property of The HAVA IMPLEMENTATION COMMISSION. All information contained in proposals will remain non-public information until such time as a contract award is made. Upon contract award, all information contained in proposals will become public information except for information defined by the Respondent as being "Trade Secret Information." Proposal information that falls within the trade secret definition must be properly and conspicuously marked and identified by Respondents as "Trade Secret Information" or the proposal information will not be recognized as such by The HAVA IMPLEMENTATION COMMISSION. Proposals that contain a blanket trade secret claim or that are

substantially identified as "trade secret" will not receive any recognition by The HAVA IMPLEMENTATION COMMISSION as trade secret information. Pricing and budgets within the proposal cannot be identified as "Trade Secret Information."

VII. PROJECT NARRATIVE

- A. The Proposal must include a Project Narrative that addresses each of the following subheadings:
- B. RESPONDENT ORGANIZATION AND QUALIFICATIONS: The HAVA IMPLEMENTATION COMMISSION requires a Respondent that has the necessary qualifications, skills, and resources to provide quality Voter Registration System services to the clients of The HAVA IMPLEMENTATION COMMISSION. Previous experience in providing Voter Registration or Elections services, while strongly desired, is not a requirement. The HAVA IMPLEMENTATION COMMISSION shall require the current Voter Registration System services continue unabated with no impact to its existing system during the transition to a new system. In order to be considered as a viable Voter Registration System Contractor, Respondents in their proposal must demonstrate that not only can they provide the requested services, but also perform an on-time and successful conversion of Voter Registration services from the existing system to the new Voter Registration System.
 - 1. RESPONDENT QUALIFICATIONS and EXPERIENCE: The HAVA IMPLEMENTATION COMMISSION is particularly interested in a Respondent that has substantial experience in developing, implementing and managing voter registration systems. In totality, the Respondent's experience, combined with that of any subcontractor(s) shall demonstrate the capability to successfully meet the requirements of this RFP. Therefore, the Respondent's proposal shall highlight its corporate

capabilities, organizational structure, financial stability, and previous experience related to the requirements of this RFP.

2. RESPONDENT'S CAPABILITIES: Responses shall include the following:

Date the firm was established and a detailed ownership model;

Organizational and decision-making chart, relative to the Voter Registration System proposed; and

Prior and current litigation and/or formal administrative protests or actions such as notices of default, unsatisfactory performance, etc. involving state or federal government and private companies related to the quality or performance of voter registration or related services for any local, county, State or Federal government agency, public or private association, or private organization.

3. RESPONDENT ORGANIZATION: The Respondent shall provide a proposed organization chart (specifically identifying those persons who will serve in such capacities) for The HAVA IMPLEMENTATION COMMISSION'S Voter Registration System project defining how the Respondent shall staff and manage the project. The response shall include a detailed and focused discussion of the proposed lines of authority, and how the project management team of the Respondent shall be involved in the administration of the services, including the coordination and communication internally and among all subcontractors. The Respondent shall designate a project manager who shall coordinate daily with the designated managing coordinator of The HAVA IMPLEMENTATION COMMISSION.

4. RESPONDENT PROPOSED KEY PERSONNEL: The Respondent shall provide a project team to be headed by an overall Project Manager whose responsibility it is to carry out the tasks in this RFP. The Contractor's Project Manager shall meet the following requirements:

Has three years of project management experience; and

Has successfully managed within the last five (5) years the implementation and/or operation of a voter registration system or other system of comparable size and similar complexity as defined within this RFP.

The resume of the proposed Project Manager for the Respondent shall be included within the response. The Project Manager shall start work on the project on the effective date of the contract and continue until the State's written acceptance of the successful conversion of the current Voter Registration System to new Voter Registration System. The Respondent's Project Manager and the Managing Commissioner/Coordinator of The HAVA IMPLEMENTATION COMMISSION shall coordinate all aspects of the implementation and shall jointly author a bi-monthly status report to the HAVA IMPLEMENTATION COMMISSION and the Special Master. Said status report(s) shall become exhibits to the Special Master's monthly report provided by the Special Master to the Court.

Following a successful conversion, the Respondent may designate a different Project Manager responsible for the Voter Registration System contract that must maintain regular and frequent contact with The HAVA IMPLEMENTATION COMMISSION and designated staff members. His or her appointment and continuing service is subject to The HAVA IMPLEMENTATION COMMISSION'S approval. A replacement may be required for any legitimate performance reason at The HAVA

IMPLEMENTATION COMMISSION'S option, and the replacement is also subject to The HAVA IMPLEMENTATION COMMISSION'S approval.

Other key personnel from the Contractor subject to the approval of the State are:

- Technical Conversion Coordinator
- Deputy Project Manager
- System Test Manager
- Technical System Manager
- Coordinator of Training and Field Operations
- State Agency Coordinator

The following shall be clear in the proposal:

- A description of the project team to be assigned to The HAVA IMPLEMENTATION COMMISSION'S Voter Registration System project, including position title, responsibilities, percent of time on the project, name and resumes of all key staff, and identification of positions to be hired upon contract award. If the design of the team will change during different phases of the project, this must be identified.
- The degree of coordination expected between the Project Manager and The HAVA IMPLEMENTATION COMMISSION, to include notification to The HAVA IMPLEMENTATION COMMISSION when potential or actual problems are identified.
- The decision making authority the Project Manager has within the organization in relation to this Voter Registration System project.

- A management structure insuring adequate oversight and executive direction for the Project Manager. In this regard, the Respondent shall identify the corporate officer(s) to be contacted by The HAVA IMPLEMENTATION COMMISSION should major problems arise during the performance of the Contract. It shall be the responsibility of the corporate contact person(s) to return a telephone call received from The HAVA IMPLEMENTATION COMMISSION or his/her designee within twenty-four hours of receipt.
- The lines of authority and communication that will exist within the project team.

The respondent must have the appropriate number and mix of project staff at all times during this project to ensure the successful transition and operations of the Voter Registration System. The HAVA IMPLEMENTATION COMMISSION anticipates that full-time professional staff operating as an extension and representative of The HAVA IMPLEMENTATION COMMISSION shall be required to successfully oversee and coordinate the successful implementation of Alabama's new statewide voter registration system. The Respondent is responsible for providing a comprehensive plan whereby the Respondent's Project Manager, other critical personnel listed above and other management officials of the Respondent are available on-site in Montgomery, Alabama, or other locations of implementation within one (2) business day or within forty-eight (48) hours of The HAVA IMPLEMENTATION COMMISSION'S request at no cost to The HAVA IMPLEMENTATION COMMISSION.

Interviews of key personnel shall be conducted prior to an award in order to determine acceptability and compatibility of such staff on behalf of The HAVA IMPLEMENTATION COMMISSION. If there is a change in key personnel after the award is made, the Respondent shall present the replacement to The HAVA IMPLEMENTATION COMMISSION, and

The HAVA IMPLEMENTATION COMMISSION will have right of refusal privileges. If any of the proposed key personnel or project manager is not currently in the employ of the Respondent, a letter of intent to accept employment shall be included in the response.

5. SUBCONTRACTOR QUALIFICATIONS AND EXPERIENCE: Only after obtaining the express written consent of The HAVA IMPLEMENTATION COMMISSION, respondents may subcontract the performance of the required services with other entities or third parties. For purposes of this RFP, a subcontractor is defined as any entity under contract to the Respondent providing a service specifically defined and required within this RFP. When proposing the use of a subcontractor, the Respondent shall explain and document in writing the relationship between the subcontractor and the Respondent. In addition, organizational charts and a breakdown of duties between the subcontractor and the Respondent shall be provided.

Any changes in subcontractor(s) after the execution of this agreement shall first require written notification and prior approval by The HAVA IMPLEMENTATION COMMISSION, which approval shall not be unreasonably withheld. The Respondent shall provide copies of all new contracts with subcontractor(s) (excluding pricing or proprietary information) on or before five (5) business days of the effective date of such contracts. Upon receipt, The HAVA IMPLEMENTATION COMMISSION will have seven (7) business days to review such contracts and provide in writing to the Respondent any concerns regarding the level of service that is required of such subcontractor(s) by Respondent in meeting its contractual obligations to The HAVA IMPLEMENTATION COMMISSION. The Respondent shall address each concern in writing to The HAVA IMPLEMENTATION COMMISSION no later than five (5) days from the receipt of The HAVA IMPLEMENTATION COMMISSION'S concerns.

The responsibility for the performance of a subcontractor(s) rests solely with the Respondent. If used, subcontractor(s) shall be made aware of and adhere to the requirements specified within this RFP and the subsequent contract between The HAVA IMPLEMENTATION COMMISSION and the Respondent. The Respondent shall explain the subcontractor's(s) role by including the following minimum information in their response:

- Each subcontractor's name and address;
- The specific service(s) the subcontractor will be performing;
- Evidence of each subcontractor's intent to participate, including a signed letter by an authorized representative;
- Description of relevant qualifications, capabilities, and resources;
- A contingency plan to cover any subcontractor stoppage;
- A security plan to comply with the requirements in this RFP; and
- Three (3) references for each subcontractor, to include contact names, addresses, and telephone numbers, and a description of the services currently being provided.
- A copy of contracts with all subcontractors with copies of same to be provided no later than the date of contract execution by the Respondent.

C. PROJECT MANAGEMENT: The HAVA IMPLEMENTATION COMMISSION envisions the Voter Registration System project consisting of four generally parallel, but sequential (although there may be some overlap) phases. These phases are:

- Design

- Development
- Transition
- Maintenance

Because of the many possible factors impacting the aggressive timeline required for the design, development, and transition to the new system, The HAVA IMPLEMENTATION COMMISSION does not intend to prescribe any set period of time for each of the respective phases, other than full compliance with the Court's Order on or before August 31, 2006. It is the intention of the Commission to accelerate the date of compliance if possible. The Respondent is required to define the anticipated timelines and estimated completion dates for the project deliverables within each phase in a draft Project Work Plan submitted with their proposal.

1. PROJECT WORK PLAN: The Respondent's Phased Project Work Plan shall be based on the Respondent's proposal. The plan shall include, at a minimum, a schedule of all tasks and deliverables required through the project. The plan should identify the individual tasks and deliverables by project phase, as defined below. A phased implementation is encouraged. This plan shall identify all critical path and dependency tasks and delineate the responsibilities of the Respondent, the State and Federal agencies. The Respondent shall submit a final Project Work Plan to The HAVA IMPLEMENTATION COMMISSION no later than three (3) working days after receipt of the Commission's Notice of Intent to Negotiate with Vendor(s). The HAVA IMPLEMENTATION COMMISSION shall review and comment on the plan within five working days. The final Project Work Plan shall be provided three working days following the receipt of the comments from The HAVA IMPLEMENTATION COMMISSION.

The Respondent shall provide a proposed work plan in their response.

2. DESIGN PHASE: The timeframe for the deliverables from the Project Design Phase shall be based upon tasks and deliverables identified within the Project Work Plan. The Design Phase shall commence with the Vendor's receipt of Notice of Intent to Negotiate with Vendors and shall continue for the timeframe identified within the Respondent's response and proposed work plan and mutually agreed upon by The HAVA IMPLEMENTATION COMMISSION and the Respondent. All deliverables identified within the project plan are subject to State review and approval. The Respondent shall allow an appropriate time for The HAVA IMPLEMENTATION COMMISSION to review and comment upon the deliverable.

a) TRANSITION PLAN: The Respondent shall be responsible for the migration of the current Voter Registration System database to the new Voter Registration System. The Respondent shall prepare a migration plan that covers each of the following activities in detail:

- Device deployment and installation,
- Migration of the Voter Registration database

The plan shall address the processes to be used for the migration, how the processes shall be tested, and contingency plans for problems and issues that may occur during the migration. The migration plan shall also address the verification and validation of the migration process, in particular the validation of the voter registration records that are converted to the new system. The Respondent shall submit the final Transition Plan no later than two (2) weeks after contract signing.

- b) FUNCTIONAL DESIGN DOCUMENT: This document shall, at a minimum, provide a functional overview and a description of the operating environment, procedures and workflow of the Voter Registration System. The Respondent shall submit the final Functional Design Document no later than two (2) weeks after contract signing.
- c) DETAILED DESIGN DOCUMENT: The Detailed Design Document shall describe the total system configuration including system hardware, functionality, file layouts, message and file flows, ARU Scripts, data elements, system interfaces, and the system security plan. The Respondent shall submit the final document no later than three (3) weeks after contract signing.
- d) TEST PLAN: The Respondent shall develop system test plans during the Design Phase. Test plans shall, at a minimum, outline the test purpose, methodology, environment, and approval rating system. Test plans shall be developed for the Functional Demonstration, System Acceptance Test, System and Network Capacity Test, ARU Test, and the System Interface Test. The final System Test Plans shall be submitted no later than three (3) weeks after contract signing.
- e) BACKUP AND RECOVERY PLANS: The Respondent shall provide an evaluation of the types of service interruptions that may impact the Voter Registration System's operations and therefore require the use of a backup and recovery process. For each potential interruption type, the Respondent shall, at a minimum, detail the steps to be taken to survive and recover from the interruption. The plan shall include provisions to ensure voter registration continues. In addition, the Contractor shall outline the resources committed to each proposed contingency plan (i.e., personnel, systems, telephone lines, and operation sites) and indicate whether the contingency plan has been tested under real

or simulated conditions. The final Back-up and Recovery Plan shall be submitted no later than three (3) weeks after contract signing.

- f) SYSTEM SECURITY PLAN: The Respondent shall prepare a security plan detailing, at a minimum, the security provisions and proposed user profiles established within the Voter Registration System. The Respondent shall submit the final System Security Plan no later than three (3) weeks after contract signing.
- g) TRAINING PLAN: The Respondent shall prepare and submit a Comprehensive Training Plan that identifies the proposed deadlines and supportive tasks for the planning, design, development, production and distribution of all training materials. The training plan should address the timeline for creation of the deliverables, and the timeframe for training The HAVA IMPLEMENTATION COMMISSION and county office staff. The plan should outline deliverable dates of training products with sufficient time allowed for HAVA IMPLEMENTATION COMMISSION review and approval. The Respondent shall submit the Training Plan no later than three (3) weeks after contract signing.
- h) SYSTEM ACCEPTANCE TEST PLAN: The system acceptance test provides both HAVA IMPLEMENTATION COMMISSION and local voter registration representatives the opportunity to test the Voter Registration System functionality and ensure compliance with the system design requirements. This test shall consist minimally of functional requirements, security, recovery, system controls, and "what if" testing. In addition, as part of the system acceptance testing, the Respondent must demonstrate the methods and processes for performing daily reconciliation between The HAVA IMPLEMENTATION COMMISSION and Respondent interface and processing

activities. During the formal test script portion of the acceptance test, testing representatives will follow detailed test scripts developed by the Respondent. The test scripts should cover all facets of the system's operations and test all of the system processing options and environmental conditions.

The ad hoc or "what if" portion of the acceptance test provides The HAVA IMPLEMENTATION COMMISSION and local voter registration representatives the opportunity to include various transaction sets and sequences that have not been included in the test scripts and to challenge the system's operations and design.

D. MANAGEMENT SUMMARY and COMPREHENSIVE STRUCTURE: Provide a detailed and accurate summary about the Vendor's organization, including the following:

1. GOVERNING BOARD AND OTHER AGENTS: The names, titles and responsibilities of the entire Vendor's governing board of directors, officers, and paid consultants (not specifically listed in VIII B).
2. HISTORY: A chronological and comprehensive history of the formation and development of the Respondent's organization, with the date of incorporation or, if unincorporated, the date the business began; other projects operated in the past and currently; and prior names of the organization, if any.
3. FINANCIAL AUDIT: A certified copy of the respondent's most recent audited financial audit and name of the audit firm, including contact information of two representatives of the firm conducting the audit.

4. QUALIFICATIONS AND EXPERIENCE OF RESPONDENT: The Respondent's qualifications and experience for assuring the successful completion of the requirements of this RFP must be stated with specificity in the vendor's proposal. It must include a description of past or current experience in providing the proposed services and, as applicable, the rate of successful delivery. It must further describe any and all applicable licenses and/or certifications held by the Respondent.
 5. CAPACITY: A detailed and annotated compilation of the Respondent's organizational and administrative capacity, and financial capacity, to meet the requirements of the RFP.
- E. REQUIREMENTS: Address in outline form each of the system requirements and how Respondent will meet all requirements.

VIII. PRICING

Each response should provide prices for professional services only. No equipment is to be priced in the proposal. Prices for all "hardware" items discussed in the system overview are to be stated separately and are NOT to be included in the proposal total price. Prices are to be stated for items within categories as follows, with a total for each category and a grand total following the Technical Support Log category.

- A. DESIGN
- B. DEVELOPMENT
- C. TRAINING
- D. LOCAL REDUNDANCY

- E. TRANSITION: Data from the existing system must be migrated to the new voter registration system. The telephone area code must be derived and included in the new system as it is not in the current system.
- F. MAINTENANCE: A price is to be provided for a yearly system maintenance (software and hardware) agreement and is to be included in the proposal total. Pricing for annual agreements for additional years is to be provided but is NOT to be included in the proposal total. (This issue will be addressed in ancillary documents and will be specifically set forth in the contract between the Respondent and the Special Master and/or The HAVA IMPLEMENTATION COMMISSION, if any.)
- G. SYSTEM SUPPORT - A stated price is to be provided for the cost of system support (8:00 A.M. to 5:00 P.M. Central time Monday – Friday) for a period of two years, beginning at the point of full implementation, and is to be included in the proposal total. Pricing for additional years is to be provided as an option but is NOT to be included in the proposal total. (This issue will be addressed in ancillary documents and will be specifically set forth in the contract between the Respondent and The HAVA IMPLEMENTATION COMMISSION, if any.)
- H. TECHNICAL SUPPORT LOG – Pricing is to be provided for the cost for two years of a log of all technical support issues, actions taken, and resolutions. Annual pricing for additional years is to be provided as an option but is NOT to be included in the proposal total. (This issue will be addressed in ancillary documents and will be specifically set forth in the contract between the Respondent and The HAVA IMPLEMENTATION COMMISSION, if any.)
- I. OPTIONAL ITEMS: Optional items are to be priced separately and are NOT to be included in the proposal total.

IX. PROCUREMENT AND AWARD

- A. GENERAL: The HAVA IMPLEMENTATION COMMISSION will designate a Proposal Evaluation Committee (PEC) and a Chairperson of that Committee. The

Committee will review and evaluate Proposals received from eligible Respondents in response to this RFP and, if a recommendation is made, will make its recommendation to The HAVA IMPLEMENTATION COMMISSION in accordance with the general criteria defined below. The detailed scoring criterion and documentation will be released electronically on November 27, 2006 at www.governor.state.al.us

B. BASIS OF RECOMMENDATION: A comparative scoring process, using detailed criteria, will be used to measure the degree to which each Proposal meets the following general evaluation criteria, with a maximum of 100 points possible:

1. The Respondent's overall approach in providing a comprehensive plan for furnishing a Centralized Computerized Statewide Voter Registration System as set forth in this RFP. **(WEIGHT: maximum of 20 points)**
2. Technical compliance with the requirements of the RFP. **(WEIGHT: maximum of 10 points)**
3. Qualifications and experience of the Respondent to successfully complete a contract to carry out the proposed services. **(WEIGHT: maximum of 10 points)**
4. The Respondent's demonstrated ability, organizational capacity, financial stability and capacity to carry out the services as specified in the RFP. **(WEIGHT: maximum of 15 points)**
5. Reasonableness and amount of the proposed cost. **(WEIGHT: maximum of 15 points)**
6. Vendor's ability and commitment to a proposed solution for phased implementation to accommodate military and overseas voters, as well as, voters who need assistance because of a physical disability. **(WEIGHT: maximum of 15 points.)**
7. Approach toward comprehensive, detailed and meaningful training. **(WEIGHT: maximum 15 points)**

The HAVA IMPLEMENTATION COMMISSION may determine and/or implement other criteria, in addition to, or in lieu of, the criteria described above, as it deems necessary and appropriate.

X. RESPONDENT'S REPRESENTATIONS AND CERTIFICATIONS

- A. By submitting a Proposal in response to this RFP, the Respondent warrants and represents to The HAVA IMPLEMENTATION COMMISSION that the Respondent accepts and agrees with all of the terms and conditions of the RFP. Further, by so submitting, the Respondent certifies to The HAVA IMPLEMENTATION COMMISSION that the Respondent is legally authorized to conduct business within the State of Alabama and to carry out the services described in this RFP and that all of the statements set forth in this RFP and related proposal of the vendor are true, complete and correct.
- B. REVOLVING DOOR POLICY: The Respondent warrants that neither the Respondent nor any of the Respondent's trustees, officers, directors, agents, servants or employees is a current employee of State of Alabama, The Alabama Secretary of State's Office or project related agency, and none of the said individuals have been employees of State of Alabama within the ten (10) year period ending with the date of this RFP.
- C. DEBARMENT: Neither the Respondent nor any of the Respondent's trustees, officers, directors, agents, servants or employees (whether paid or voluntary) is debarred or suspended or otherwise excluded from or ineligible for participation in federal assistance programs under Executive Order 12549, "Debarment and Suspension."
- D. COLLUSION WITH OTHER VENDORS: The Respondent certifies by submission of this Proposal and resultant contract that the Respondent has not publicly or privately colluded with any other Respondent to fix prices or conditions

of this contract. This does not preclude joint ventures with other companies. (Any Respondent with a Joint Venture partner, not qualified and set forth as a sub-contractor, must execute and include an Organizational Structure and Management Summary for the Joint Venture partner, as established in IX D 1-5.)

E. COMPLIANCE: If The HAVA IMPLEMENTATION COMMISSION elects to execute a contract with the Respondent for services on the basis of the proposal, the Respondent will comply with the following requirements:

1. TIMELY SUBMISSION: Reports and data delineated in the Respondent's implementation plan, and such other reports and data as may otherwise be required by The HAVA IMPLEMENTATION COMMISSION, will be submitted to The HAVA IMPLEMENTATION COMMISSION on a timely basis and in accordance with the format and instructions provided by The HAVA IMPLEMENTATION COMMISSION.
2. MANAGEMENT AND COORDINATION: The Vendor's representatives shall work in good faith and at the direction of the Commission's designated Manager, who shall be an active member of the Commission. Due to the very compact timeframe for full implementation, communication between state and vendor representatives shall be carefully coordinated in an effort to maximize productivity and to insure full compliance prior to the court imposed deadline.
3. PROGRESS REVIEW: The HAVA IMPLEMENTATION COMMISSION shall, at its sole discretion, require periodic walk-through and progress reports as documentation of the Respondent's completion of the deliverables, and the Respondent will comply with these requirements at such times and in such manner and format as may be required by The HAVA IMPLEMENTATION COMMISSION.
4. PROGRAM AUDITS AND RECORD KEEPING: The Respondent will comply with financial and programmatic audits as well as record keeping

requirements that shall be established by The HAVA IMPLEMENTATION COMMISSION in a resulting contractual instrument.

5. ACCESS TO RECORDS: The Respondent will keep and maintain, to The HAVA IMPLEMENTATION COMMISSION'S satisfaction, detailed programmatic, accounting and fiscal books, accounts, records and procedures to account for all funds provided from all sources to pay the costs of carrying out any contract, memorandum of understanding, or project implementation plan resulting from this RFP. The Respondent will further permit, at any reasonable time authorized personnel and/or representatives of The HAVA IMPLEMENTATION COMMISSION full access to financial books, accounts, files, records, ledgers, documents, statistical reports, accounting procedures, practices and any other items (hereinafter collectively referred to in this paragraph as "records") of the Respondent pertaining to all funds regardless of the source(s) of funding, associated directly or indirectly with the performance of any contract resulting from this RFP in order to audit, examine and make excerpts of the said records. Respondents desiring to avoid this requirement with respect to funds received from other sources must:
 - a) Maintain separate accounts, books and records, i.e., assure that contract funds received from The HAVA IMPLEMENTATION COMMISSION are not commingled with funds received from other funding sources;
 - b) Assure that direct costs associated with carrying out the contract program are not shared across multiple funding sources; and,
 - c) Assure that indirect costs associated with carrying out the contract are not allocated to The HAVA IMPLEMENTATION COMMISSION.

6. INVESTIGATIONS: The Respondent will fully cooperate and assist The HAVA IMPLEMENTATION COMMISSION, its agents or assigns, in any investigations of compliance.
7. PROPOSED CONTRACT: The Respondent will provide The HAVA IMPLEMENTATION COMMISSION a proposed contract document(s). The Respondent will comply with all the terms and conditions of that document(s) and all other federal and state laws, rules and regulations applicable to receiving funds from The HAVA IMPLEMENTATION COMMISSION to carry out the services described in this RFP. Further, any contract executed pursuant to the RFP shall be subject to review by The HAVA IMPLEMENTATION COMMISSION, the Chief legal counsel to the Governor of Alabama, and any such legal counsel as may be designated and/or retained by The HAVA IMPLEMENTATION COMMISSION and/or the Special Master, including but not limited to the Attorney General of Alabama and or a Deputy Attorney General. Review of such will be a comprehensive analysis of its legality of form and compliance with State contract laws, terms and conditions, and shall be subject to review by the Alabama Legislative Contract Review Oversight Committee, Examiners of Public Accounts, or other parties designated by The HAVA IMPLEMENTATION COMMISSION.
8. CODE OF CONDUCT: The Respondent will maintain a written code of conduct consistent with applicable federal, state and local laws, regulations and ordinances, governing the performance of directors, officers, employees, contractors, and relatives of the said individuals, and governing their public disclosure related to ethical conduct, conflict of interest, involvement in political activities and personal, financial and economic interests. The document shall further contain appropriate sanctions for a failure, at any level, to follow the established standard.

9. CONFIDENTIALITY: The Respondent will comply with any requirement imposed by The HAVA IMPLEMENTATION COMMISSION to sign a Confidentiality Agreement indicating the Respondent's willingness to comply with applicable Federal or State laws, regulations or requirements pertaining to client confidentiality.
10. INVOICING INFORMATION: The HAVA IMPLEMENTATION COMMISSION will make no advance payments. Therefore, all invoices shall be submitted in arrears on a monthly basis and are subject to the laws, policies and procedures of the State of Alabama Department of Finance.
11. MONITORING AND EVALUATION: The HAVA IMPLEMENTATION COMMISSION shall have the right to withhold payment to the Respondent for failure by the Respondent to carry out any of its contractual obligations. This includes, but is not limited to the result of unsatisfactory audit findings, physical security reviews or other negative monitoring results. The Commission's right to withhold payment shall continue until the Respondent remedies such failure to perform. The Respondent will take immediate corrective action to resolve any negative findings by The HAVA IMPLEMENTATION COMMISSION.
12. OTHER RESPONDENT RESPONSIBILITIES: The HAVA IMPLEMENTATION COMMISSION will consider the Project Manager of the selected Respondent to be the major point of contact regarding contractual matters, including performance of services and the payment of any and all charges resulting from contract obligations. The Respondent will provide prompt, efficient and courteous service, and avoid undue interference with other State operations. The HAVA IMPLEMENTATION COMMISSION must approve all subcontractors.
13. NEWS RELEASES: No news release, press conferences or advertisement pertaining to this solicitation or to awards made as a result of this

solicitation, will be made and/or conducted without prior written approval of The HAVA IMPLEMENTATION COMMISSION.

14. WORKSPACE AND EQUIPMENT: The Respondent must provide its own workspace and equipment needed to carry out the services required under this RFP. However, The HAVA IMPLEMENTATION COMMISSION, by and through its managing Commissioner, will work with the Respondent to provide accommodations for designated members of the joint implementation team.

- F. FINANCIAL ACCOUNTING: The Respondent's accounting system is consistent with Generally Accepted Governmental Accounting Principles (GAAP). Further, the applicant maintains sufficient financial accounting records to allow the Respondent to account for and document the source and application of all funds from all sources, including, as applicable, required matching funds.
- G. FINANCIAL AUDIT: The Respondent shall provide a copy of its most recent audited financial statement in its proposal.
- H. COMPETENCY: At The HAVA IMPLEMENTATION COMMISSION'S request the Respondent will be required to furnish promptly any information that they may consider necessary to establish their competency to perform the work.
- I. REFERENCES: The Respondent shall provide the identification of at least three (3) references currently using the application services which are the same or essentially the same or substantially similar to those specified herein. These services must have been operational for a minimum period of two (2) years. A brief description of the services must be provided along with the name, title, business address, and telephone number of the client to contact regarding the services provided. The HAVA IMPLEMENTATION COMMISSION reserves the right to contact each client listed in the proposal.

- J. PROPOSAL LIFE: The Proposal submitted to The HAVA IMPLEMENTATION COMMISSION in response to this RFP will be binding on the Respondent for ninety (90) calendar days following the due date prescribed in the RFP.
- K. PERFORMANCE BOND: Upon award, the Respondent will be asked to provide The HAVA IMPLEMENTATION COMMISSION, within ten (10) working days of notification of award, a performance bond, approved by The HAVA IMPLEMENTATION COMMISSION, in the amount of thirty three percent (33%) of the Proposal Grand Total as a guarantee of the satisfactory performance of the services proposed. The performance bond must be in force for the entire life of the contract. In the event the Respondent fails to deliver or perform to the satisfaction of The HAVA IMPLEMENTATION COMMISSION, the contracting authorities for The HAVA IMPLEMENTATION COMMISSION reserve the right to proceed against the performance bond and to cancel any associated agreements without any resulting liability, present or future to The HAVA IMPLEMENTATION COMMISSION.
- L. INSURANCE: Upon award, the Respondent will be asked to provide The HAVA IMPLEMENTATION COMMISSION within ten (10) working days of notification of award, certificates of insurance from an entity licensed to provide insurance within the State of Alabama. The Respondent will carry and maintain, during the entire period of performance under this contract, the following:
1. Worker' Compensation and Employee's Liability insurance with a minimum of \$200,000 per incident,
 2. Comprehensive General Liability with a minimum of \$3 million bodily injury per occurrence,
 - 3, Bonding of Vendor employees (permanent, temporary or contracted) with a minimum of \$200,000 per incident.

Certificates of Insurance will be necessary for any and all sub-contractor(s), joint venture partner(s), or related entity of the Respondent.

XI. STATEMENT OF APPLICATION

All aspects of this RFP have been addressed and reviewed in the proposal submitted by the undersigned entity. I hereby certify that I am authorized to bind this entity and that all aspects and components of the RFP have specifically addressed in our recommended solution for the State of Alabama and The HAVA IMPLEMENTATION COMMISSION

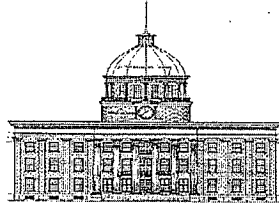
Proposing Entity: _____

Signature

Printed Name and Title

Date

Note: [This document, in its entirety, shall be executed by the designated vendor representative and attached to the submission and proposal of the vendor when tendered to The HAVA IMPLEMENTATION COMMISSION on or before noon on December 8, 2006. This execution shall serve as an official record of the vendor's comprehensive review of this document in its entirety and shall become an attached exhibit, incorporated by reference and attachment to the vendor's proposal.]



Alabama HAVA Implementation Commission

Sid McDonald, Chairman • Judge Rip Proctor • Jim Bennett • Trey Granger • Beth Chapman

Date: November 20, 2006

To: Alabama Probate Judges
Alabama Sheriffs
Alabama Circuit Clerks
Alabama Boards of Registrars

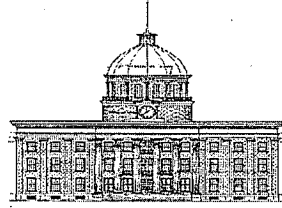
From: Trey Granger

Regarding: Release of Request for Proposal and
Vendor Conference – December 1, 2006

The HAVA Implementation Commission released a Request for Proposal (RFP) on Friday of last week seeking proposals from qualified vendors to implement our new statewide voter registration system. You can view a copy of the RFP by accessing the Governor's website at www.governor.alabama.gov – click on the HAVA button in the bottom right corner of the homepage to access this document and related listings. We are very interested in your comments, experience, and perspectives about the new system and the vendors who will compete to provide Alabama's new system. In an effort to seek your recommendations and to provide every local election official a personal review of each proposed system, we are conducting a conference, mandatory for each participating vendor, on Friday, December 1, 2006, at the Alabama State Capitol.

Participating vendors will be set up in the Old Archives Room (2nd floor) of the Capitol from 10:00 A.M. until 2:00 P.M. that day. This aspect of the day will showcase all the vendors in one location so that you might take time to review the different systems. We invite you to come, spend some time and look at the various systems offered for consideration. We will provide each local election official who participates with a review, analysis and comment sheet to use during your assessment of each participant so that the Commission can take your comments and recommendations into consideration as the selection process begins. We have invited the Alabama HAVA Committee to join us on December 1st so that vendors can also make presentations during individually scheduled sessions that afternoon. Please feel free to join us for those sessions as well. Once we have a "Notice to Participate" from interested vendors, we will list/post the time of individual presentations from vendors that will be conducted in the Capitol Auditorium. We look forward to seeing you on the 1st. If I can be of help to you in the interim, please call me at 334-832-7744 or electronically at treygranger@mc-ala.org. Best wishes to each of you for a Happy Thanksgiving.

EXHIBIT E



Alabama HAVA Implementation Commission

Sid McDonald, Chairman • Judge Rip Proctor • Jim Bennett • Trey Granger • Beth Chapman

Vendor Conference Sessions Outline and Scoring Criterion

The Alabama HAVA Implementation Commission received detailed and comprehensive Expressions of Interest from the following election vendors: **Diebold Election Systems (Allen, Texas)**, **Election Systems and Software/ES&S (Omaha, Nebraska)**, **PCC Technology Group (Bloomfield, Connecticut)**, and **Saber (Portland, Oregon)**. These four entities are required to participate in a mandatory vendor conference on Friday, December 1, 2006. This vendor conference will be conducted in three segments that shall be detailed below. A fifth entity, **International Computer Works (Temple Terrace, Florida)**, an entity with a focus on GIS, GPS, and internet mapping functionality, shall be permitted to participate in Sessions I and III of the vendor conference, but will not participate in Session II of the Vendor Conference.

Session I [10:00 A.M. until 2:00 P.M.] - Session One of the Vendor Conference will be conducted in the Old Archives Room of the Alabama State Capitol. The Old Archives Room is located on the 2nd floor of the State Capitol's south wing. Each election vendor will be provided a designated location within the room to set up a booth, display and/or area to demonstrate the various components of their respective systems. Vendors will have access to the Old Archives Room at 8:00 A.M. on December 1, 2006. Vendors shall be prepared for a four-hour demonstration that shall begin no later than 10:00 A.M. Vendors should have representatives, staff and a set-up plan that shall accommodate a successful set-up plan that will be complete by 9:30 A.M. Local election officials, advocacy representatives, members of the press, and the public shall be invited to attend the conference and shall be provided an opportunity to interact with vendor representatives. Local election officials (Probate Judges, Circuit Clerks, Sheriffs, and members of the Boards of Registrars) will be provided a review/scoring sheet that will be a component of consideration for the Implementation Commission. It is anticipated that attendees will visit the vendor's demonstration area at a reasonable, but comfortable pace. There will not be any time constraints placed on how long each participant can spend at a

vendor's demonstration area. Participating local election officials will be strongly encouraged to spend an equal and appropriate amount of time with each vendor.

Session II [1:00 P.M.] Session Two of the Vendor Conference will be conducted in the Capitol Auditorium located on the Street Level (Union Street Entrance) of the Alabama State Capitol. This segment of the Vendor Conference will be a joint session of the HAVA Implementation Commission and the Alabama HAVA Committee. Vendors are invited to make presentations and will be scheduled alphabetically for forty-five (45) minute segments. Electronic/PowerPoint presentations are encouraged. While each session is open to the public, vendor representatives should only remain in the Capitol Auditorium during their company's presentation. The Commission requests that each election vendor operate on the honor system when acting in accordance with this policy. The schedule for this session will be as follows:

1:00 p.m.	Opening Remarks, Welcome, and Overview of Procurement Process
1:20 p.m.	Presentation from Diebold
2:05 p.m.	Vendor Rotation
2:15 p.m.	Presentation from ES&S
3:00 p.m.	Break
3:15 p.m.	Presentation from PCC Technology Group
4:00 p.m.	Vendor Rotation
4:10 p.m.	Presentation from Saber

Time limits will be strictly enforced during Session II. The format of a vendor's presentation is at the discretion of the presenting entity but should be planned and executed in a concise and organized fashion. All presentations are subject to videotaping and/or recording by the Commission, at the sole discretion of the Implementation Commission. Members of the HAVA Committee and the Implementation Commission will be provided with review/notation documentation to evaluate each vendor's presentation. Vendors may provide Commission and Committee members with advisory, marketing, presentation and related documentation.

Session III [5:00 P.M.] Session III of the Vendor Conference will also be conducted in the Capitol Auditorium of the Alabama State Capitol. This session will be conducted first by responding to those written questions submitted to The HAVA Implementation Commission by noon on Wednesday, November 29, 2006, and secondly by responding to Questions presented to members of the Commission from the floor during Session III. All vendors who participate in Session II must participate in Session III to insure the uniform transfer of information to all participating vendors.

Detailed Scoring Criterion

The HAVA Implementation Commission will utilize three distinct components in the review and evaluation of this open and competitive procurement process. Each vendor shall be awarded up to a total of 300 points from three review aspects. The Proposal Evaluation Committee's designated scores, The Alabama HAVA Committee's recommendation, and a site visit by members of the Commission will provide effective, reasonable and balanced criterion for a standard of measure of each proposal and participating vendor. Each of these equally weighted components will be a decisive factor in the Commission's ultimate recommendation to the Special Master in the selection of a vendor and collaborative partner for the Commission in the implementation of Alabama's Statewide Centralized Voter Registration System and compliance with Section 303 of the Help America Vote Act.

- A. The **Proposal Evaluation Committee (PEC)**, as referenced in Section IX (A) of the Request for Proposal will be a committee of 15 members who have demonstrated a high degree of technical and/or election-based expertise, knowledge and experience. The PEC shall include local election officials, technical experts, and business/academic professionals designated by the Commission to critically and analytically review the proposals of each participating vendor. The names and scoring sheets of the PEC members will be released on January 3, 2007 during the joint meeting of the HAVA Committee and HAVA Implementation Commission. The PEC member's name will be redacted from his/her scoring sheet prior to being released publicly. PEC members will use scoring sheets based upon the format set forth in Section IX (B) and chart in Section IV (S) of the Request for Proposal dated November 17, 2006, when evaluating each proposal. One third (1/3) of a vendor's composite score and evaluation shall be the averaged scores assigned to the vendor by the PEC members. The PEC score will represent up to 100 points of a total 300 points awardable to a participating vendor.

- B. The **Alabama HAVA Committee** will also be provided a copy of each participating vendor's proposal. Members of the HAVA Committee shall be asked to make a detailed review of both the oral and written presentations of each participating vendor. Members of the HAVA

Committee will assign each vendor a score and shall present the composite score assigned by the Committee to each vendor at the proposed joint meeting of the Commission and the Committee on January 3, 2007. The Commission will provide the Committee with recommended evaluation criterion for submitted proposals. The HAVA Committee's assigned score to each vendor will represent one third (1/3) of a vendor's composite score and up to 100 points of a total 300 points awardable to a participating vendor.

- C. Members of the HAVA Commission shall make a **Site Visit** to a designated statewide (State Capitol) and/or large county implementation site of each of the four participating vendors. Section II (I) of the Request for Proposal requires each vendor to designate two (2) proposed locations. The committee shall select one of the recommendations from each vendor for an evaluation and review of each visited location. The Site Visit component shall utilize uniform written evaluation criterion, questions, and interview schedules at each of the four selected locations. This aspect of a vendor's review and evaluation will represent one third (1/3) of a vendor's composite score and up to 100 of a total 300 points awardable to a participating vendor.

The Commission shall also carefully consider those evaluations, comments, and recommendations of participating local election officials who fully participate in Session I on December 1, 2006, as set forth above in this document. All aspects of and representations set forth in the Request for Proposal dated November 17, 2006 remains applicable to this procurement process. This document is provided to those participating vendors as a tool and guide for preparation only. As represented in Section IX (B) of the RFP, the Commission reserves the right to "implement other criteria, in addition to, or in lieu of, the criteria described above, as it deems necessary and appropriate.

[This document was released on November 28, 2006.]

Gregory, Darlene**EXHIBIT F**

From: Trey Granger [TreyGranger@mc-ala.org]
Sent: Tuesday, November 28, 2006 10:50 PM
To: sidmc@brindleecap.com; RipProctorLawCo@aol.com; Bennett, Jim; Chapman, Beth; Wallis, Ken; MARGARET BOATRRIGHT; Gregory, Darlene; Deonna Thompson; Justin Aday
Subject: Wednesday Conference Call

It looks like tomorrow afternoon will work best for everyone. I'll plan on 2:00 p.m. and will coordinate with Darlene to get a conference call code to everyone in the morning. The call will help us get a head-start on Friday, can we plan on discussing the following:

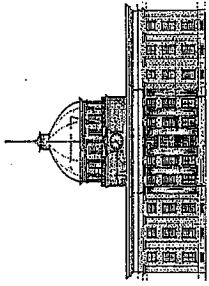
1. Expressions of Interest
2. Confirmation of a Friday meeting at 9:00 a.m.
3. Dates for Site Visits
4. Written Questions from Vendors
5. Impact of the potential Automatic Recount
6. Status of Proposal Evaluation Committee
7. Meeting with State Agencies
8. Meeting with ISD
9. Other issues.

Mr. McDonald – I'll be happy to have Justin pick you up at the airport if that would be of help to you.

Thanks to each of you for your continued assistance and help. I have gotten very positive feedback on the RFP. TG

Trey Granger, Director of Elections
Office of Judge Reese McKinney, Jr.
Montgomery County, Alabama
334-832-1326 (t) 334-315-0406 (c)
treygranger@mc-ala.org

12/5/2006



Alabama HAVA Implementation Commission

Sid McDonald, Chairman • Judge Rip Proctor • Jim Bennett • Trey Granger • Beth Chapman

Request for Proposal Seeking Solutions for Alabama's Statewide Centralized Voter Registration System and Compliance with Section 303 of The Help America Vote Act (HAVA)

Vendor Questions

EXHIBIT G

Question From Vendor	Answer From HAVA Implementation Commission
<p>RFP Section V (K) Existing State Network States – page 26</p> <p>“The system must be compatible and operational with existing state networks.”</p> <p><i>What are the existing state networks? Please include specifications for all hardware, software, network capacity, bandwidth and current local as well as network protocols used.</i></p>	<p>Those network(s) currently maintained by the Information Service Division of the Alabama Department of Finance (ISD). A comprehensive survey which outlines the architecture of such network(s) and the framework of each of Alabama’s 67 counties will be obtained by the Commission for the use and assistance of the Commission and successful vendor. While existing networks may be utilized to meet the Court imposed deadline, the Commission recognizes the value of progressive recommendations from each vendor which contemplate capacity needs for future technology.</p>
<p>RFP Section IV (S) Solution Components – page 21</p> <p>“Components to automatically update Street Index Files.”</p> <p><i>What forms of automatic updates are expected? Please describe in more detail.</i></p>	<p>The ability to update a street index file electronically, not manually.</p>

<p>RFP Section IV (S) Solution Components – page 22</p> <p>“Suspense List Management capabilities.”</p> <p><i>To what does the term “Suspense List” refer?</i></p>	<p>That list specifically described in Section 17-4-202 (c) of the Code of Alabama. The content and application of the Suspense file is set forth in this code section.</p>
<p>RFP Section IV (S) Solution Components – page 22</p> <p>“View Voter Signature from Poll Book Link.”</p> <p><i>Does this requirement refer to the capture and storage of voter signatures from an electronic poll book or both? If capture and storage of voter signatures from an electronic poll book is required, would a signature import specification to enable migration of electronic signatures into the system meet the requirement?</i></p>	<p>Both. This feature is a planning component for technology that is likely to be used in Alabama. Electronic Poll books are used in this State on a very limited basis. This feature was included so that the proposed solution will be capable of capturing a signature at a precinct, but also have access to archival files and related documents.</p>

<p>RFP Section IV (S) Solution Components – page 22</p> <p>“Voter Activity History maintained and organized with designated criteria.”</p> <p><i>What constitutes the “designated criteria” described here?</i></p>	<p>Demographic and statistical information – gender, race, age, etc.</p>
<p>RFP Section IV (S) Solution Components – page 22</p> <p>“Interface for Election Night Returns.”</p> <p><i>What data needs to be collected?</i></p>	<p>Votes cast for a candidate or issue by precinct, district, county, and/or circuit.</p>
<p>RFP Section IV (S) Solution Components – page 24</p> <p>“Ability to catalogue relevant Information About a Candidate.”</p> <p><i>What information is required to be catalogued for candidates?</i></p>	<p>Basic contact information or any other information that may become required by statute or administrative act. Currently, FCPA filings are not required to be available electronically at the local level. Should such electronic filing be necessary in the future because of legislative enactment, this database should have the capacity maintain the same.</p>

<p>RFP Section VII Pricing – page 44</p> <p>“Each response should provide prices for professional services only.”</p> <p><i>Because we are offering our software as a COTS (commercial off the shelf) software product, the license fee for the software must be included in the contract pricing. May we include the license fee for the core Voter Registration and Election Management System software in the proposal total price?</i></p>	<p>A license fee is considered to be a necessary component of the professional services recommended in a proposal. The referenced statement was intended to clearly establish that a proposal should not include hardware costs, but only a listing of recommended hardware and estimated pricing of such hardware.</p>
<p><i>Will the VRS provide for the administration and maintenance of the suspense file and purge process?</i></p>	<p>Yes.</p>

RFP – Vendor Questions
Vendor: ES&S

<p>RFP Section V (T) System Maintenance - page 28</p> <p><i>Can you please clarify the desired term of this contract? The RFP references a five year initial warranty in the above section, and a two-year term of service in other sections.</i></p>	<p>This contract contemplates a five year arrangement as set for the referenced section, V (T) for comprehensive warranty and maintenance. An optional “cost factor” feature for additional years is requested. Section VIII (F) seeks costs for such additional years beyond the initial five, and in VIII (G) and (H) seeks a price for system support (help desk) and a technical log.</p>
<p><i>Can you please specify the number of registered voters in the State, and number of expected concurrent system users for VR functions only?</i></p>	<p>2.7 Million as of November 6, 2006, per the Secretary of State’s website.</p>
<p><i>Are relevant files currently stored electronically or on paper?</i></p>	<p>Typically electronic, but some may be paper.</p>

<p>RFP Section I (C) Impact of the System – page 4</p> <p>“The proposed solution should be designed as a phased implementation and must meet the state and federal requirements of the Help America Vote Act (HAVA), specifically those critical compliance deadlines outlined and ordered by Judge Keith Watkins, United States Judge for the Middle District of Alabama.”</p> <p><i>Can the State provide a list of the critical compliance deadlines, as referenced above?</i></p>	<p>Primarily, August 31, 2007. A copy of relevant Orders and related memorandum from the Federal Court will be provided to a requesting vendor upon request.</p>
<p>RFP Section IV (J) Data Migration – page 18</p> <p><i>How many unique source systems are there in Alabama?</i></p> <p><i>How many of these have been significantly customized by the county, if any?</i></p> <p><i>Is the only source for data conversion the voter registration data stored at the Dept. of Finance mainframe system, or is their local data to be converted as well?</i></p>	<p>There are multiple system sources being used by Alabama Counties. A catalogue of these county systems is being compiled by the Commission. The depth of county customization will be noted in the listing. It is likely that multi-source points of conversion should be anticipated.</p>

<p>RFP Section IV (O) CASS Option – page 19</p> <p>“A CASS certification component for address support shall be included in the vendor’s solution.”</p> <p><i>Will all counties be using the same vendor?</i></p>	<p>Yes.</p>
<p>RFP Section IV (S) Solution Components – page 22</p> <p>“Interface for Election Night Returns.”</p> <p><i>Can you please clarify the requirements for this system component?</i></p>	<p>The ability for a county to transmit unofficial election results to the Secretary of State’s office on Election Night to enhance public information.</p>
<p>RFP Section IV (S) Solution Components – page 22</p> <p>“Automated ballot certification and ballot definition capabilities.”</p> <p><i>Can you please expand on the requirements for this system component? What functionality will be required from the Voter Registration system?</i></p>	<p>The ability to transmit documents to the Secretary of State and/or other State officials, executed at the county level, particularly those official documents and supporting spreadsheets setting forth canvass totals and county certification, as required by Title 17-14-1 et al.</p>

<p>RFP Section IV (S) Solution Components – page 24</p> <p>“Ability to catalogue relevant Information About a Candidate.”</p> <p><i>Can you please clarify what information the system is required to catalogue in reference to this component?</i></p>	<p>See response to same question raised by Diebold.</p>
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Question From Vendor	Answer From HAVA Implementation Commission
<p>RFP Section VI (C) Nature and Format of Proposals - page 30</p> <p><i>We would like to include a Table of Contents and an Executive Summary with our proposal. Is it acceptable to include those after the Cover Letter and before the Proposal Narrative?</i></p> <p><i>To allow the greatest flexibility in formatting/printing the proposal, is it acceptable to number pages using major section numbers, e.g., 1-1, 1-2, 2-1, 2-2, etc., as long as the page numbers appear centered in the bottom margin?</i></p>	<p>Yes.</p> <p>Please follow the format and structure set forth in the RFP. This will allow for uniformity in scoring and review by the PEC, the Commission, and Committee.</p>

<p>RFP Section VI (C)(v) – page 31</p> <p>“The Budget Addendum should be followed by an audited financial statement covering the Vendor’s most recently concluded fiscal year, the current fiscal year and the projections for next fiscal year.”</p> <p><i>Because audited financial statements are not available until sometime after a fiscal year is complete, can a Vendor satisfy this requirement by submitting an audited financial statement for its most recently concluded fiscal year, and unaudited financial statement for its current fiscal year-to-date, and an unaudited projection for its next fiscal year?</i></p>	<p>Yes, audited documents are preferred and the Commission reserves the right to seek additional financial document from a proposing vendor when such is deemed necessary and prudent.</p>
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<p>RFP Section X (A) – page 47</p> <p>“By submitting a Proposal in response to this RFP, the Respondent warrants and represents to The HA V A IMPLEMENTATION COMMISSION that the Respondent accepts and agrees with all of the terms and conditions of the RFP. Further, by so submitting, the Respondent certifies to The HA V A IMPLEMENTATION COMMISSION that the Respondent is legally authorized to conduct business within the State of Alabama and to carry out the services described in this RFP and that all of the statements set forth in this RFP and related proposal of the vendor are true, complete and correct.”</p> <p><i>Can the Vendor satisfy this requirement by warranting that Vendor accepts and agrees with the terms and conditions of the RFP unless otherwise excepted to by Vendor, and by representing that the statements in the RFP are true, complete and correct to the best of Vendor’s knowledge?</i></p>	<p>Exceptions, specifically set forth will be permitted for consideration and discussion during contract negotiation. Any listed exception shall be specifically addressed by all parties during negotiation and resolved in writing in a resulting contract with said prevailing vendor. If a vendor contends that a statement in the RFP is not true, such statement should be noted with specificity in the vendors proposal. The vendor must certify that the all aspects of the vendor’s proposal are true, complete and correct.</p>
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<p>RFP Section X (E)(7) Proposed Contract – page 50</p> <p><i>Please confirm that this Section requires the Vendor to submit a proposed contract only after the State selects the Vendor to complete this project, and not with the Vendor’s proposal.</i></p>	<p>The vendor’s <u>proposed</u> contract shall be included in the submitted proposal due for submission by noon on December 8, 2006.</p>
<p>RFP Section X (L)(3) Insurance – page 53</p> <p>“Bonding of Vendor employees (permanent, temporary or contracted) with a minimum of \$200,000 per incident.”</p> <p><i>Please confirm that this requirement refers to a “Crime Insurance” policy that provides coverage for dishonesty, forgery, theft, computer fraud, and similar acts by Vendor’s employees.</i></p>	<p>The details and requirements of the referenced instrument shall be addressed and agreed to during contract negotiations. The vendor shall provide such instrument of security within 10 days of contract execution.</p>

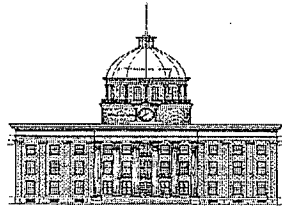


EXHIBIT H

Alabama HAVA Implementation Commission

Sid McDonald, Chairman • Judge Rip Proctor • Jim Bennett • Trey Granger • Beth Chapman

Voter Registration Vendor Conference – December 1, 2006

Session I

Vendor and System Demonstrations

Old Archives Room – 2nd Floor State Capitol

10:00 a.m. – 2:00 p.m.

Session II

Joint Session of the Alabama HAVA Implementation
Commission and the Alabama HAVA Committee

Capitol Auditorium

1:00 p.m.	Welcome, Opening Remarks and Overview
1:20 p.m.	Diebold Presentation
2:05 p.m.	Vendor Rotation
2:15 p.m.	ES&S Presentation
3:00 p.m.	Break
3:15 p.m.	Saber Presentation

Session III

Question and Answer Session with Vendors

Capitol Auditorium

4:00 p.m.